FORM ADV

UNIFORM APPLICATION FOR INVESTMENT ADVISER REGISTRATION AND REPORT BY EXEMPT REPORTING ADVISERS

Prin	mary Business Name: TORRAY	RESOLUTE, LLC			CRD Number: 17309
Ann	nual Amendment - All Sections				Rev. 10/201
3/23	3/2016 11:04:10 AM				
WA	· ·	nthfully. False statements or omission d by filing periodic amendments. See	ns may result in denial of your applicati Form ADV General Instruction 4.	on, revocation of your registration	on, or criminal prosecution. You must
lten	n 1 Identifying Information				
Re	sponses to this Item tell us who	you are, where you are doing busine	ess, and how we can contact you.		
A.	Your full legal name (if you are TORRAYRESOLUTE, LLC	e a sole proprietor, your last, first, and	d middle names):		
B.	Name under which you primate TORRAYRESOLUTE, LLC	rily conduct your advisory business, i	f different from Item 1.A.:		
	List on Section 1.B. of Schedu	lle D any additional names under wh	ich you conduct your advisory busines:	5.	
C.	If this filing is reporting a chan ☐ your legal name or ☐ your		orimary business name (Item 1.B.), ent	er the new name and specify wh	nether the name change is of
D.		ne SEC as an investment adviser, you an exempt reporting adviser, your SI			
E.	If you have a number ("CRD N	lumber") assigned by the FINRA's C	RD system or by the IARD system, your	CRD number: 173090	
	If your firm does not have a C	RD number, skip this Item 1.E. Do no	ot provide the CRD number of one of ye	our officers, employees, or affilia	ites.
	List on Section 1.F. of Sci registration, or are registe whom you are registered. the largest five offices in t	State: Kansas e residence, check this box: hedule D any office, other than your pered, with one or more state securities If you are applying for SEC registrate terms of numbers of employees. rmally conduct business at your principle:	SUITE 2 Country: United S principal office and place of business, a s authorities, you must list all of your off ion, if you are registered only with the S	ZIP+4. tates 66211 t which you conduct investment ices in the state or states to which	Postal Code: advisory business. If you are applying for th you are applying for registration or with SEC as an exempt reporting adviser, list
	8:00 AM - 5:00 PM(3) Telephone number at this 913-428-3700(4) Facsimile number at this 913-647-9725				
G.	Mailing address, if different from Number and Street 1: 4200 WEST 115TH STREET City: LEAWOOD	om your <i>principal office and place of</i> State: Kansas sidence, check this box:	business address: Number and Street 2: SUITE 100 Country: United States	ZIP+4/Postal C 66211	Code:
Н	If you are a sole proprietor, str	ate your full residence address, if diff	erent from your <i>principal office and pla</i> c	ce of business address in Item 1	.F.:
	Number and Street 1:	, ,	Number and Street 2:		
	City:	State:	Country:	ZIP+4/Postal Code:	

I.	Do you have one or more website	es?			•	Ð	0
	•	ing addresses for all of the other info	•	rtal through which to access other information you hav eed to list more than one portal address. Do not provi	•		
J.		ormation of your Chief Compliance Cne. If not, you must complete Item 1.		porting adviser, you must provide the contact information	on for your Chief		
	Name:		Other titles, if any:				
	Telephone number:		Facsimile number:				
	Number and Street 1:		Number and Street 2:				
	City:	State:	Country:	ZIP+4/Postal Code:			
	Electronic mail (e-mail) address	, if Chief Compliance Officer has on	e:				
K.	Additional Regulatory Contact Permay provide that information here	•	ef Compliance Officer is authori	zed to receive information and respond to questions a	bout this Form AD\	V, yo	u
	Name:		Titles:				
	Telephone number:		Facsimile number:				
	Number and Street 1:		Number and Street 2:				
	City:	State:	Country:	ZIP+4/Postal Code:			
	Electronic mail (e-mail) address	, if contact person has one:					
					Υe	es	No
L.	Do you maintain some or all of the principal office and place of busin	·	ed to keep under Section 204 of	f the Advisers Act, or similar state law, somewhere oth	ner than your 🥫	Đ	0
	If "yes," complete Section 1.L. of	Schedule D.			٧٤	es	Nο
M.	Are you registered with a foreign	financial regulatory authority?			c		•
	Answer "no" if you are not registe complete Section 1.M. of Schedu		y authority, even if you have an	affiliate that is registered with a foreign financial regula	atory authority. If "y	⁄es,′	ı
					Υe	es	No
N.	Are you a public reporting compa	ny under Sections 12 or 15(d) of the	Securities Exchange Act of 193	34?	C	5	•
	If "yes," provide your CIK number	(Central Index Key number that the	SEC assigns to each public rep	porting company):			
					Υє	es	No
O.	Did you have \$1 billion or more in	n assets on the last day of your most	recent fiscal year?		c	0	•
P.	Provide your Legal Entity Identifie	er if you have one:					
	A <i>legal entity identifier</i> is a unique still in development. You may not		ntify each other in the financial	marketplace. In the first half of 2011, the legal entity in	<i>entifier</i> standard w	<i>ı</i> as	
SEC	CTION 1.B. Other Business Names						
			No Information Filed				
SEC	CTION 1.F. Other Offices						
		or each office, other than your <i>princip</i>	oal office and place of business	s, at which you conduct investment advisory business.	You must complete	e a	
se		each location. If you are applying fo		gistered only with the SEC, or if you are an exempt rep			
	umber and Street 1: 01 WISCONSIN AVENUE		Number and Str SUITE 750W	eet 2:			
Cit	ty:	State:	Country:	ZIP+4/Postal Code:			
	ETHESDA	Maryland	United States	20814-6523			

Yes No

If this address is a private residence, check this box:			
Telephone Number: 301-493-4600	Facsimile Number: 301-530-0642		
SECTION 1.I. Website Addresses			
List your website addresses. You must complete a separa	te Schedule D Section 1.	l. for each website address.	
Website Address: HTTP://WWW.TORRAYRESOLUTE.CO	М		
SECTION 1.L. Location of Books and Records			
Complete the following information for each location at whi Schedule D Section 1.L. for each location.	ch you keep your books a	and records, other than your <i>prince</i>	ipal office and place of business. You must complete a separate
Name of entity where books and records are kept: MARINER HOLDINGS, LLC			
Number and Street 1:		Number and Street 2:	
4200 WEST 115TH STREET City:	State:	SUITE 100 Country:	ZIP+4/Postal Code:
LEAWOOD	Kansas	United States	66211
If this address is a private residence, check this box:			
Telephone Number:	Facsimile number:		
913-647-9700	913-647-9725		
This is (check one): one of your branch offices or affiliates.			
C a third-party unaffiliated recordkeeper.			
C other.			
Briefly describe the books and records kept at this location LOCATION OF SOME REGULATORY/ORGANIZATIONAL B			
Name of entity where books and records are kept: TORRAY LLC			
Number and Street 1: 7501 WISCONSIN AVENUE		Number and Street 2: SUITE 750W	
City: BETHESDA	State: Maryland	Country: United States	ZIP+4/Postal Code: 20814-6523
If this address is a private residence, check this box:	Walyana	omed class	20011 0020
Telephone Number: 301-493-4600	Facsimile number: 301-530-0642		
This is (check one): one of your branch offices or affiliates.			
O a third-party unaffiliated recordkeeper.			
C other.			
Briefly describe the books and records kept at this location LOCATION OF SOME REGULATORY/ORGANIZATIONAL B			

SECT	SECTION 1.M. Registration with Foreign Financial Regulatory Authorities						
				No Information	on Filed		
Item 2	SE	C Re	egistration/Reporting				
			this Item help us (and you) determindating amendment to your SEC regis		ne SEC. Complete this Item 2.A. only if you are	re applying for SEC registration or submitting	
)	our/	SEC		-	2.A.(1) through 2.A.(12), below. If you are sub	omitting an annual updating amendment to ation to help you determine whether you may	
			adviser):				
		(1)	are a large advisory firm that either	r:			
			(a) has regulatory assets under ma	anagement of \$100 million (in U.S. dollars) o	or more, or		
			(b) has regulatory assets under ma with the SEC;	anagement of \$90 million (in U.S. dollars) or	more at the time of filing its most recent ann	nual updating amendment and is registered	
		(2)	are a mid-sized advisory firm that are either:	has regulatory assets under management of	f \$25 million (in U.S. dollars) or more but les	s than \$100 million (in U.S. dollars) and you	
			(a) not required to be registered as	an adviser with the state securities authority	of the state where you maintain your princip	al office and place of business, or	
			(b) not subject to examination by th	ne state securities authority of the state where	e you maintain your <i>principal office and place</i>	of business;	
			Click HERE for a list of states in	n which an investment adviser, if registered, v	would not be subject to examination by the s	ate securities authority.	
		(3)	have your principal office and place	e of business in Wyoming (which does not re	egulate advisers);		
		(4)	have your principal office and place	of business outside the United States;			
	V	(5)	are an investment adviser (or sub-	-adviser) to an investment company registe	ered under the Investment Company Act of 19	940;	
		(6)		mpany which has elected to be a business, and you have at least \$25 million of regulat	development company pursuant to section story assets under management;	54 of the Investment Company Act of 1940	
		(7)	are a pension consultant with resp	ect to assets of plans having an aggregate v	value of at least \$200,000,000 that qualifies f	or the exemption in rule 203A-2(a);	
		(8)		3A-2(b) that controls, is controlled by, or is u usiness is the same as the registered advise	inder common <i>control</i> with, an investment ader;	viser that is registered with the SEC, and	
			If you check this box, complete Sec	ction 2.A.(8) of Schedule D.			
		(9)	are a newly formed adviser relying	on rule 203A-2(c) because you expect to be	eligible for SEC registration within 120 days	;	
			If you check this box, complete Sec	ction 2.A.(9) of Schedule D.			
		(10)	are a multi-state adviser that is red	quired to register in 15 or more states and is	relying on rule 203A-2(d);		
			If you check this box, complete Sec	ction 2.A.(10) of Schedule D.			
		(11)	are an Internet adviser relying on r	ule 203A-2(e);			
		(12)	have received an SEC order exemp	oting you from the prohibition against registra	ation with the SEC;		
		. ,	If you check this box, complete Sec				
		(13)	are no longer eligible to remain reg				
		()	are no nongo, engliste to remain reg	,			
State	e Se	curi	ties Authority Notice Filings and Sta	ate Reporting by Exempt Reporting Advise	rs		
C.							
	Jur	risdic	etions				
		AL			□ NE	□ sc	
		AK		□ IN	□ NV	□ SD	
		AZ			□ NH	□ TN	
		AR		☑ KS	□ NJ	Птх	
		CA		□ KY	□ NM □ NY	□ UT	
				□ LA	□ NY	□ vī	
		CT DE		□ ME ☑ MD	☑ NC □ ND	□ va	

│	∥ L MA	∥ L OH	∥
□ FL	∥ □ MI	□ OK	∥ □ w
□ GA	□ MN	□ OR	□ w
			• vvi
□ GU	□ MS	PA	
□ ні	∥ □ MO	□ PR	
□ ID	∥ □ мт	□ RI	
report filing fee for the coming SECTION 2.A.(8) Related Adviser If you are relying on the exemption	y year, your amendment must be filed before in rule 203A-2(b) from the prohibition on re	re the end of the year (December 31).	ed by, or are under common control with an investment adver, provide the following information:
Name of Registered Investment Ad	dviser		
CRD Number of Registered Investi	ment Adviser		
SEC Number of Registered Investr 801 -	ment Adviser		
SECTION 2.A.(9) Newly Formed Ad	viser		
SEC registration. By checking the a	appropriate boxes, you will be deemed to h	ave made the required representations. Yo	ired to make certain representations about your eligibility found in must make both of these representations:
	to be registered with the SEC or a <i>state se</i> istration with the SEC becomes effective.	curities authority and I have a reasonable e	spectation that I will be eligible to register with the SEC with
I undertake to withdraw from Si from registering with the SEC.	EC registration if, on the 120th day after my	registration with the SEC becomes effectiv	e, I would be prohibited by Section 203A(a) of the Advisers A
SECTION 2.A.(10) Multi-State Advis			
	, the multi-state adviser exemption from the priate boxes, you will be deemed to have it		d to make certain representations about your eligibility for S
If you are applying for registration a	as an investment adviser with the SEC, yo	u must make both of these representations:	
	state and federal laws and have concluded	·	e states to register as an investment adviser with the state
	EC registration if I file an amendment to the securities authorities of those states.	is registration indicating that I would be requ	ired by the laws of fewer than 15 states to register as an
If you are submitting your annual u	undating amondment you must make this	roprocontation:	
☐ Within 90 days prior to the date	pdating amendment, you must make this e of filing this amendment, I have reviewed nent adviser with the state securities autho	the applicable state and federal laws and ha	ave concluded that I am required by the laws of at least 15
SECTION 2.A.(12) SEC Exemptive C	Order		
If you are relying upon an SEC orde	er exempting you from the prohibition on re	egistration, provide the following information	
Application Number: 803-			
Date of <i>order</i> :			
Item 3 Form of Organization			
A. How are you organized?			
Corporation			
Sole Proprietorship			
C Limited Liability Partners	ship (LLP)		
De utus a us la im			
C Partnership			

B.	In what month does your fiscal year end each year? DECEMBER		
C.	Under the laws of what state or country are you organized?		
	State Country		
	Delaware United States		
	If you are a partnership, provide the name of the state or country under whose laws your partnership was formed. If you are a sole proprietor, provide the name of the state country where you reside.	te or	
	If you are changing your response to this Item, see Part 1A Instruction 4.		
Iten	m 4 Successions		
A.	Are you, at the time of this filing, succeeding to the business of a registered investment adviser?	Yes	No ⊙
	If "yes", complete Item 4.B. and Section 4 of Schedule D.		
B.	Date of Succession: (MM/DD/YYYY)		
	If you have already reported this succession on a previous Form ADV filing, do not report the succession again. Instead, check "No." See Part 1A Instruction 4.		
SEC	CTION 4 Successions		
	No Information Filed		
Item	n 5 Information About Your Advisory Business - Employees, Clients, and Compensation		
	sponses to this Item help us understand your business, assist us in preparing for on-site examinations, and provide us with data we use when making regulatory policy.	Part 1	A
En	nployees		
	you are organized as a sole proprietorship, include yourself as an employee in your responses to Item 5.A. and Items 5.B.(1), (2), (3), (4), and (5). If an employee performs an one function, you should count that employee in each of your responses to Items 5.B.(1), (2), (3), (4), and (5).	more	
A.	Approximately how many <i>employees</i> do you have? Include full- and part-time <i>employees</i> but do not include any clerical workers.		
B.	(1) Approximately how many of the <i>employees</i> reported in 5.A. perform investment advisory functions (including research)? 5		
	(2) Approximately how many of the <i>employees</i> reported in 5.A. are registered representatives of a broker-dealer?		
	(3) Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment adviser representatives</i> ?		
	(4) Approximately how many of the <i>employees</i> reported in 5.A. are registered with one or more <i>state securities authorities</i> as <i>investment adviser representatives</i> for an investment adviser other than you?		
	(5) Approximately how many of the <i>employees</i> reported in 5.A. are licensed agents of an insurance company or agency? 0		
	(6) Approximately how many firms or other <i>persons</i> solicit advisory <i>clients</i> on your behalf?2		
	In your response to Item 5.B.(6), do not count any of your employees and count a firm only once – do not count each of the firm's employees that solicit on your behalf.		

Limited Liability Company (LLC)

If you are changing your response to this Item, see Part 1A Instruction 4.

C Limited Partnership (LP)

Other (specify):

Clie	ents												
In v	our r	esponses to Items 5.C. and 5.D. do not include as "clients"	" the investors in a private fund you ad	lvise u	nless vou hav	e a senarate	advisory rela	ationshin wit	h those inve	estors			
,,, y	our r				-	·	•	uonomp wie	Tuloco invo	otoro.			
C.	(1)	To approximately how many <i>clients</i> did you provide inves	tment advisory services during your m	nost red	cently complet	ed fiscal yea	r?						
		C 0	C 1-10			11-25							
		C 26-100	More than 100 If more than 100, how many? (round to the nearest 100)										
	(2)	Approximately what percentage of your <i>clients</i> are non- <i>Ut</i> 0%	nited States persons?										
D.	busi Inve	for purposes of this Item 5.D., the category "individuals" includes trusts, estates, and 401(k) plans and IRAs of individuals and their family members, but does not include usinesses organized as sole proprietorships. The category "business development companies" consists of companies that have made an election pursuant to section 54 of the avestment Company Act of 1940. Unless you provide advisory services pursuant to an investment advisory contract to an investment company registered under the Investment Company Act of 1940, check "None" in response to Item 5.D.(1)(d) and do not check any of the boxes in response to Item 5.D.(2)(d).											
	(1)	What types of <i>clients</i> do you have? Indicate the approximate percentage that each type of <i>client</i> comprises of your total number of <i>clients</i> . If a <i>client</i> fits into more than one category, check all that apply.											
			<u>N</u>	<u>lone</u>	<u>Up to 10%</u>	<u>11-25%</u>	<u>26-50%</u>	<u>51-75%</u>	<u>76-99%</u>	100%			
		(a) Individuals (other than high net worth individuals)		0	0	0	•	0	0	0			
		(b) High net worth individuals		0	0	0	•	0	0	0			
		(c) Banking or thrift institutions		•	0	0	0	0	0	0			
		(d) Investment companies		0	•	0	0	0	0	0			
		(e) Business development companies		•	0	0	0	0	0	0			
		(f) Pooled investment vehicles (other than investment	companies)	\odot	0	0	0	0	0	0			
		(g) Pension and profit sharing plans (but not the plan p	participants)	0	•	0	0	0	0	0			
		(h) Charitable organizations		•	0	0	0	0	0	0			
		(i) Corporations or other businesses not listed above		•	0	0	0	0	0	0			
		(j) State or municipal government entities		•	0	0	0	0	0	0			
		(k) Other investment advisers		•	0	0	0	0	0	0			
		(I) Insurance companies		•	0	0	0	0	0	0			
		(m) Other:		⊙	o	o	O	o	o	O			
	(2)	Indicate the approximate amount of your regulatory asset	ts under management (reported in Iter	m 5.F. l	below) attribut	able to each	of the follow	ing type of a	client. If a clie	ent fits			
		into more than one category, check all that apply.			None <u>l</u>	Jp to 25%	<u>Up to 50</u>	<u>% Up</u>	to 75%	<u>>75%</u>			
		(a) Individuals (other than high net worth individuals)			0	•	0		0	0			
		(b) High net worth individuals			0	•	0		0	0			
		(c) Banking or thrift institutions			•	o	o		o	0			
		(d) Investment companies			0	o	o		•	0			
		(e) Business development companies			•	0	o		0	Õ			
		(f) Pooled investment vehicles (other than investment	companies)		•	0	0		0	o			
		(g) Pension and profit sharing plans (but not the plan p	participants)		0	•	0		0	Ö			
		(h) Charitable organizations	,		•	0	0		0	0			
		(i) Corporations or other businesses not listed above			•	0	0		0	0			
		(j) State or municipal government entities			•	0	0		0	0			
		(k) Other investment advisers											
		(I) Insurance companies			•	0	0		0	0			
		(m) Other:			⊙ ⊙	0	0		0	0			
Coi	mpen	sation Arrangements											
		are compensated for your investment advisory services by	(check all that apply):										
		 A percentage of assets under your management Hourly charges Subscription fees (for a newsletter or periodical) Fixed fees (other than subscription fees) 	11 77										
		(5) Commissions											

		formation About Your Advisory Business - l ory Assets Under Management	Regulatory A	ssets Under Management			
ĸeţ	julati	Dry Assets Officer Management					Yes No
F.	(1)	Do you provide continuous and regular supe	ervisory or ma	anagement services to securitie	es portfolios?		• c
	(2)	If yes, what is the amount of your regulatory	assets unde	management and total numbe	r of accounts?		
				U.S. Dollar Amount		Total Number of Accounts	
		Discretionary:	(a)	\$ 33,083,636	(d)	29	
		Non-Discretionary:	(b)	\$ 0	(e)	0	
		Total:	(c)	\$ 33,083,636	(f)	29	
		Part 1A Instruction 5.b. explains how to calc	culate your re	gulatory assets under manager	ment. You must follow the	ese instructions carefully when complet	ing this Item.
tem	5 Inf	ormation About Your Advisory Business - A	Advisory Acti	vities			
		y Activities	-				
G.	Wha	at type(s) of advisory services do you provide	? Check all th	nat apply.			
		(1) Financial planning services					
	☑	(2) Portfolio management for individuals					
	V	(3) Portfolio management for investment Company Act of 1940)	t companies	as well as "business developm"	nent companies" that hav	e made an election pursuant to section	1 54 of the Investment
		(4) Portfolio management for pooled inve	estment vehic	eles (other than investment com	npanies)		
		- · ·	s (other than	small businesses) or institution	nal <i>client</i> s (other than reg	gistered investment companies and oth	er pooled investment
		vehicles)					
		(6) Pension consulting services(7) Selection of other advisers (including	private fund	managers)			
		(8) Publication of periodicals or newslett		a.i.a.ge.e,			
		(9) Security ratings or pricing services					
		(10) Market timing services					
		(11) Educational seminars/workshops(12) Other(specify):					
		(,(.,,),					
	Act	not check Item 5.G.(3) unless you provide ac of 1940, including as a subadviser. If you ch Section 5.G.(3) of Schedule D.	=				
Н.	If yo	ou provide financial planning services, to how	v many <i>client</i> :	s did you provide these services	during your last fiscal ye	ear?	
	0	0					
	0	1 - 10					
	Õ	11 - 25					
	Õ	26 - 50					
	0	51 - 100					
	0	101 - 250					
	\circ	251 - 500					
	\circ	More than 500					
		If more than 500, how many? (round to the nearest 500)					
	In y	rour responses to this Item 5.H., do not includ	de as "clients	the investors in a private fund y	∕ou advise, unless you ha	ave a separate advisory relationship wit	h those investors.
l.	If yo	ou participate in a wrap fee program, do you ((check all that	apply):			
		(1) sponsor the wrap fee program?		-			
		(2) act as a portfolio manager for the wrap	p fee progran	1?			
	If yo	ou are a portfolio manager for a wrap fee pro	ogram, list the	names of the programs and the	eir sponsors in Section 5.	I.(2) of Schedule D.	
	-	our involvement in a wrap fee program is lim. not check either Item 5.I.(1) or 5.I.(2).	ited to recom	mending wrap fee programs to	your clients, or you advis	e a mutual fund that is offered through	a wrap fee program,
							Yes No
J.	In re	esponse to Item 4.B. of Part 2A of Form ADV,	, do you indic	ate that you provide investment	advice only with respect	to limited types of investments?	0 0

(6) Performance-based fees

(7) Other (specify):

SECTION 5.G.(3) Advisers to Registered Investment Companies and Business Development Companies	
If you check Item 5.G.(3), what is the SEC file number (811 or 814 number) of each of the registered investment companies and business development companies an adviser pursuant to an advisory contract? You must complete a separate Schedule D Section 5.G.(3) for each registered investment company and busin company to which you act as an adviser.	
SEC File Number 811-22525	
SECTION 5.I.(2) Wrap Fee Programs	
No Information Filed	
Item 6 Other Business Activities	
In this Item, we request information about your firm's other business activities.	
A. You are actively engaged in business as a (check all that apply):	
 (1) broker-dealer (registered or unregistered) (2) registered representative of a broker-dealer 	
(2) registered representative of a broker-dealer (3) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
(4) futures commission merchant	
(5) real estate broker, dealer, or agent	
\square (6) insurance broker or agent \square (7) bank (including a separately identifiable department or division of a bank)	
(8) trust company	
(9) registered municipal advisor	
 (10) registered security-based swap dealer (11) major security-based swap participant 	
(12) accountant or accounting firm	
(13) lawyer or law firm	
☐ (14) other financial product salesperson (specify):	
If you engage in other business using a name that is different from the names reported in Items 1.A. or 1.B, complete Section 6.A. of Schedule D.	Yes No
B. (1) Are you actively engaged in any other business not listed in Item 6.A. (other than giving investment advice)?	0 0
(2) If yes, is this other business your primary business?	0 0
If "yes," describe this other business on Section 6.B.(2) of Schedule D, and if you engage in this business under a different name, provide that name.	
If you, accombe time other business on occurred. D. (2) or conteaute b, and if you origing in the business and a dimerent name, provide that name.	Yes No
(3) Do you sell products or provide services other than investment advice to your advisory clients?	0 0
If "yes," describe this other business on Section 6.B.(3) of Schedule D, and if you engage in this business under a different name, provide that name.	
SECTION 6.A. Names of Your Other Businesses	
No Information Filed	
SECTION 6.B.(2) Description of Primary Business	
Describe your primary business (not your investment advisory business):	
If you engage in that business under a different name, provide that name:	
SECTION 6.B.(3) Description of Other Products and Services	
Describe other products or services you sell to your <i>client</i> , You may omit products and services that you listed in Section 6.B.(2) above.	
If you engage in that business under a different name, provide that name.	
Item 7 Financial Industry Affiliations	
In this Item, we request information about your financial industry affiliations and activities. This information identifies areas in which conflicts of interest may occur	ur between you and

your clients.

A.	This part of Item 7 requires you to provide information about you and your related persons, including foreign affiliates. Your related persons are all of your advisory affiliated at the control of the	es and any
	person that is under common control with you.	
	You have a <i>related person</i> that is a (check all that apply): In a securities dealer, municipal securities dealer, or government securities broker or dealer (registered or unregistered)	
	(1) blocker-dealer, multicipal securities dealer, or government securities bloker of dealer (registered or diffegistered) (2) other investment adviser (including financial planners)	
	(3) registered municipal advisor	
	(4) registered security-based swap dealer	
	 (5) major security-based swap participant (6) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) 	
	(7) futures commission merchant	
	(8) banking or thrift institution	
	☑ (9) trust company	
	(10) accountant or accounting firm(11) lawyer or law firm	
	✓ (11) lawyer of law infin	
	✓ (13) pension consultant	
	(14) real estate broker or dealer	
	 (15) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (16) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 	
	(3) 3/3 33/3 34/3 3/3 3/3 3/3 3/3 3/3 3/3 3	
	For each related person, including foreign affiliates that may not be registered or required to be registered in the United States, complete Section 7.A. of Schedule D.	
	You do not need to complete Section 7.A. of Schedule D for any related person if: (1) you have no business dealings with the related person in connection with advisory you provide to your clients; (2) you do not conduct shared operations with the related person; (3) you do not refer clients or business to the related person, and the related does not refer prospective clients or business to you; (4) you do not share supervised persons or premises with the related person; and (5) you have no reason to believe your relationship with the related person otherwise creates a conflict of interest with your clients.	d person
	You must complete Section 7.A. of Schedule D for each related person acting as qualified custodian in connection with advisory services you provide to your clients (oth any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)), regardless of whether you have determined the related person to be operationally independent under rule 206(4)-2 of the Advisers Act.	
SEC	TION 7.A. Financial Industry Affiliations	
Coı	mplete a separate Schedule D Section 7.A. for each related person listed in Item 7.A.	
1	Legal Name of Related Person:	
1.	MARINER CONSULTING, LLC	
2.	Primary Business Name of Related Person: MARINER CONSULTING	
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	
	- or	
	Other	
4.	Related Person's CRD Number (if any):	
_	Polated Parson is: (aback all that apply)	
5.	Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer	
	(b) other investment adviser (including financial planners)	
	(c) registered municipal advisor	
	(d) registered security-based swap dealer	
	(e) amajor security-based swap participant	
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)	
	 (g) ☐ futures commission merchant (h) ☐ banking or thrift institution 	
	(i) trust company	
	(j) accountant or accounting firm	
	(k) awyer or law firm	
	(I) insurance company or agency	
	(m) pension consultant	
	 (n) real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles 	
	(b) sponsor of syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	
		Yes No
6.	Do you control or are you controlled by the related person?	0 0

7. Are you and the *related person* under common *control*?

8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	\circ	\odot	
(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' for securities that are maintained at the related person?					
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number 2:			
		City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:			
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes		
Э.		If the answer is yes, under what exemption?	0	О	
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0		
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.		•	
	D	No Information Filed			
11.	ро у	ou and the related person share any supervised persons?	⊙	0	
12.	Do y	ou and the <i>related person</i> share the same physical location?	0	•	
1.	Lega	al Name of <i>Related Person</i> :			
	MAR	RINER INSURANCE RESOURCES, LLC			
2.		nary Business Name of Related Person: RINER INSURANCE RESOURCES			
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
	- or				
	Othe)T			
4.	Rela	ated Person's CRD Number (if any):			
5.	Rela	ated Person is: (check all that apply)			
	(a) (b)	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners)			
	(c) (d)	registered municipal advisor registered security-based swap dealer			
		major security-based swap participant			
	(f) (g)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant			
	(h)	banking or thrift institution			
	(i) (j)	☐ trust company ☐ accountant or accounting firm			
	(k) (l)	 □ lawyer or law firm ☑ insurance company or agency 			
	(m)	pension consultant			
	(n) (o)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles			
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
6.	Do y	ou control or are you controlled by the related person?	Yes	No ①	
7.	Are v	you and the <i>related person</i> under common <i>control</i> ?	_	_	
			⊙	0	
8.	(a) (b)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ? If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not		0	
	(~)	operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	O	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number 2:			
		City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: □			
			Yes	No	

9.	(a)	If the related person is an investment adviser, is it exempt from registration?	\circ	0
	(b)	If the answer is yes, under what exemption?		
10	. (a)	Is the related person registered with a foreign financial regulatory authority?	0	0
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.	~	•
11	Do v	No Information Filed you and the <i>related person</i> share any <i>supervised persons</i> ?	_	_
11	. Боу	you and the related person share any supervised persons:	⊙	О
12	. Do y	you and the related person share the same physical location?	0	•
4				
1.	_	al Name of <i>Related Person</i> : RRAY LLC		
	Daire	and Dustrace Name of Deleted Deman		
2.		nary Business Name of <i>Related Person</i> : RRAY LLC		
	Dala	ated Barrania CEC File Number (if any) /a m 204 10 200 200)		
3.		ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 8629		
	or Othe			
	Otrie			
4.	<i>Rela</i>	ated Person's CRD Number (if any):		
	1036			
5.		ated Person is: (check all that apply)		
	` '	 □ broker-dealer, municipal securities dealer, or government securities broker or dealer □ other investment adviser (including financial planners) 		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	. ,	major security-based swap participant		
	()	commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant		
	(0)	banking or thrift institution		
	(i)	□ trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	()	insurance company or agency		
	(m) (n)	pension consultant real estate broker or dealer		
	` '	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	Davi		Yes	
6.	ро у	you control or are you controlled by the related person?	⊙	0
7.	Are	you and the related person under common control?	•	0
8.		Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds	0	0
		or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:	Vaa	Na
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	Yes	
	(b)	If the answer is yes, under what exemption?	~	~
10	(-)			
10		Is the related person registered with a foreign financial regulatory authority? If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.	0	•
	(2)	No Information Filed		
11	. Do y	you and the related person share any supervised persons?	\odot	0
12	Dov	you and the <i>related person</i> share the same physical location?	_	_
' -	۷ ت ت	, an arra till teration person entre and earne prijered recurrent	(•)	- (1.3)

1.	Legal Name of <i>Related Person</i> : FLYOVER CAPITAL PARTNERS, LLC		
2.	Primary Business Name of <i>Related Person</i> : FLYOVER CAPITAL PARTNERS, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 802 - 80562 or Other		
4.	Related Person's CRD Number (if any): 173709		
5.	Related Person is: (check all that apply) (a)		
6.	Do you control or are you controlled by the related person?	Yes	No ⊙
7.	Are you and the related person under common control?	•	0
3.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: \Box		
a	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
<i>J</i> .	(b) If the answer is yes, under what exemption? ADVISER TO ONE/MORE VENTURE CAPITAL FUNDS; ADVISER TO PRIVATE FUNDS WITH AUM OF LESS THAN \$150 MILLION	•	0
10.	(a) Is the related person registered with a foreign financial regulatory authority?	_	•
	(b) If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed		٠
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	0	•
	Legal Name of <i>Related Person</i> : MARINER WEALTH ADVISORS-MANASQUAN, LLC Primary Business Name of <i>Related Person</i> :		
-	MARINER WEALTH ADVISORS		

3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 79628 or		
	Other		
4.	Related Person's CRD Number (if any): 171018		
5.	Related Person is: (check all that apply) (a)		
	(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
e	Do you control or are you controlled by the related nerses?	Yes	
о.	Do you control or are you controlled by the related person?	0	⊙
7.	Are you and the related person under common control?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	\odot
	 (b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>? (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: 	0	0
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: □		
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
Ο.	(b) If the answer is yes, under what exemption?	0	⊙
10.	(a) Is the related person registered with a foreign financial regulatory authority?(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.	0	\odot
	No Information Filed		
11.	Do you and the related person share any supervised persons?	\odot	0
12.	Do you and the <i>related person</i> share the same physical location?	0	•
1.	Legal Name of <i>Related Person</i> : MARINER INSTITUTIONAL CONSULTING, LLC		
2.	Primary Business Name of <i>Related Person</i> : MARINER INSTITUTIONAL CONSULTING, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 80673		
	or Other		
4.	Related Person's CRD Number (if any): 173582		
5.	Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer		

	(b)	✓ other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)			
	` ,	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
		futures commission merchant		
	(g)			
	(h)	banking or thrift institution		
	(i)	trust company		
	(j)	accountant or accounting firm		
	(k)	□ lawyer or law firm		
	(I)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(P)		Yes	No
^	D			
6.	ро у	you control or are you controlled by the related person?	\circ	⊙
7.	Are	you and the related person under common control?	•	O
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	_
-				
	(b)		\circ	\circ
		operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds		
		or securities that are maintained at the related person?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
	(-)			
10	(a)	Is the related person registered with a foreign financial regulatory authority?	_	_
10.	` '		0	•
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.		
		No Information Filed		
11.	Do y	you and the related person share any supervised persons?	\odot	O
12.	Doy	you and the related person share the same physical location?	0	0
				•
1.	Leg			
	_	al Name of Related Person:		
		gal Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC		
2		NTAGE INVESTMENT ADVISORS, LLC		
2.	Prim	NTAGE INVESTMENT ADVISORS, LLC mary Business Name of <i>Related Person</i> :		
2.	Prim	NTAGE INVESTMENT ADVISORS, LLC		
	Prim VAN	MTAGE INVESTMENT ADVISORS, LLC mary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC		
	Prim VAN Rela	NTAGE INVESTMENT ADVISORS, LLC mary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	Prim VAN Rela 801	MTAGE INVESTMENT ADVISORS, LLC mary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC		
	Prim VAN Rela 801 or	MTAGE INVESTMENT ADVISORS, LLC mary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790		
	Prim VAN Rela 801	MTAGE INVESTMENT ADVISORS, LLC mary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790		
3.	Prim VAN Rela 801 or Othe	wary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC Valued Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790		
3.	Prim VAN Rela 801 or Othe	what was a state of the state o		
3.	Prim VAN Rela 801 or Othe	wary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC Valued Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790		
3.	Prim VAN Rela 801 or Othe	what was a state of the state o		
3.	Prim VAN Rela 801 or Othe Rela 174	what was a state of the state o		
3.	Prim VAN Rela 801 or Othe Rela 174	mary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790 let lated Person's CRD Number (if any):		
3.	Prim VAN Rela 801 or Othe Rela 174	mary Business Name of Related Person: NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790 let lated Person's CRD Number (if any): 1099 lated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer		
3.	Prim VAN Rela 801 or Othe 174 Rela (a)	mary Business Name of Related Person: NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790 er lated Person's CRD Number (if any): 1099 lated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer		
3.	Prim VAN Rela 801 or Othe 174 Rela (a) (b) (c)	NTAGE INVESTMENT ADVISORS, LLC mary Business Name of Related Person: NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790 eer lated Person's CRD Number (if any): 1099 lated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor		
3.	Prim VAN Rela 801 or Othe Rela 174 Rela (a) (b) (c) (d)	NTAGE INVESTMENT ADVISORS, LLC mary Business Name of Related Person: NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790 er lated Person's CRD Number (if any): 1099 lated Person is: (check all that apply) □ broker-dealer, municipal securities dealer, or government securities broker or dealer of the investment adviser (including financial planners) □ registered municipal advisor □ registered security-based swap dealer		
3.	Prim VAN Rela 801 or Othe 174 Rela (a) (b) (c) (d) (e)	NTAGE INVESTMENT ADVISORS, LLC mary Business Name of <i>Related Person</i> : NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1-80790 er lated Person's CRD Number (if any): 1099 lated Person is: (check all that apply) □ broker-dealer, municipal securities dealer, or government securities broker or dealer □ other investment adviser (including financial planners) □ registered municipal advisor □ registered security-based swap dealer major security-based swap participant		
3.	Prim VAN Rela 801 or Othe 174 Rela (a) (b) (c) (d) (e) (f)	ATAGE INVESTMENT ADVISORS, LLC mary Business Name of Related Person: NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1-80790 er lated Person's CRD Number (if any): 1099 lated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
3.	Prim VAN Rela 801 or Othe 174 Rela (a) (b) (c) (d) (e) (f) (g)	ATAGE INVESTMENT ADVISORS, LLC mary Business Name of Related Person: NTAGE INVESTMENT ADVISORS, LLC lated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 1 - 80790 er lated Person's CRD Number (if any): 1099 lated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant		
3.	Prim VAN Rela 801 or Othe 174 Rela (a) (b) (c) (d) (e) (f)	NTAGE INVESTMENT ADVISORS, LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 80790 er ated Person's CRD Number (if any): 1099 ated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution		
3.	Prim VAN Rela 801 or Othe 174 Rela (a) (b) (c) (d) (e) (f) (g)	NTAGE INVESTMENT ADVISORS, LLC ared Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 80790 er lated Person's CRD Number (if any): 1099 ared Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company		
3.	Prim VAN Rela 801 or Othe 174 Rela (a) (b) (c) (d) (e) (f) (g)	NTAGE INVESTMENT ADVISORS, LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 80790 er ated Person's CRD Number (if any): 1099 ated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution		

	(I)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	V	
6.	Do y	ou control or are you controlled by the related person?	Yes O	•
7.	Are y	you and the related person under common control?	•	0
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		0
		If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
	(-)		Yes	No
9.		If the <i>related person</i> is an investment adviser, is it exempt from registration? If the answer is yes, under what exemption?	0	•
	(5)	in the diletter to you, and or what exemption.		
10.		Is the related person registered with a foreign financial regulatory authority?	0	\odot
	(b)	If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed		
11.	Do y	ou and the related person share any supervised persons?	•	0
12.	Do y	ou and the <i>related person</i> share the same physical location?	0	•
1.	_	al Name of <i>Related Person</i> : TOISE CAPITAL ADVISORS, L.L.C.		
2.	Prim	ary Business Name of <i>Related Person</i> : TOISE CAPITAL ADVISORS, L.L.C.		
3.		ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 61622		
	or Othe	г		
4.	<i>Rela</i> 1237	ted Person's CRD Number (if any): 711		
5.		ted Person is: (check all that apply)		
	()	 □ broker-dealer, municipal securities dealer, or government securities broker or dealer ☑ other investment adviser (including financial planners) 		
	(-)	registered municipal advisor		
	(d) (e)	registered security-based swap dealer major security-based swap participant		
	(b)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	trust company		
	(J)	 accountant or accounting firm lawyer or law firm 		
	(k) (l)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	_		Yes	No
б.	ро у	ou control or are you controlled by the related person?	0	⊙
7.	Are y	ou and the related person under common control?	•	0

	8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
			If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		0
			If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
			Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
			If this address is a private residence, check this box:		
				Yes	No
			If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	⊙
		(b)	If the answer is yes, under what exemption?		
	10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
		(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
	11.	Do vo	ou and the <i>related person</i> share any <i>supervised persons</i> ?	_	•
		,		0	•
	12.	Do yo	ou and the related person share the same physical location?	0	•
		_	l Name of <i>Related Person</i> :		
		MAR	INER WEALTH ADVISORS-NYC, LLC		
	2.	Prima	ary Business Name of <i>Related Person</i> :		
		MAR	INER WEALTH ADVISORS		
	3.	Relat	ted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
			- 78721		
		or Other	r		
		Otrici			
			ted Person's CRD Number (if any):		
		1694	59		
	5.	Rela	ted Person is: (check all that apply)		
		(a)			
		(b)	other investment adviser (including financial planners)registered municipal advisor		
		. ,	registered security-based swap dealer		
		(e)	major security-based swap participant		
		(f) (g)	 commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant 		
			banking or thrift institution		
		(i)	trust company		
		(j) (k)	 ✓ accountant or accounting firm ✓ lawyer or law firm 		
		(I)	insurance company or agency		
		(m)	`		
		(n) (o)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
			sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
				Yes	No
	6.	Do yo	ou control or are you controlled by the related person?	0	⊙
	7.	Are v	ou and the <i>related person</i> under common <i>control</i> ?	•	_
		,		٠	
	8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
		` '	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not	\circ	\circ
			operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
		(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
			Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
			If this address is a private residence, check this box:		
	Q	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
- 1	9.	(a)	in the related person to an investment advisor, to it exempt ment registration:	(1)	•

	(b)	If the answer is yes, under what exemption?		
10.	(a) (b)	Is the <i>related person</i> registered with a <i>foreign financial regulatory authority</i> ? If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed	0	•
11.	Do y	you and the related person share any supervised persons?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	0	•
1.	_	al Name of <i>Related Person</i> : INVESTMENT GROUP, LLC		
2.		nary Business Name of <i>Related Person</i> : INVESTMENT GROUP, LLC		
3.		ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 71952		
	or Othe	er en		
4.	<i>Rela</i> 155	ated Person's CRD Number (if any): 399		
 7. 	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (o) (p)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	•	•
0.	(a) (b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ? If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:	0	
	(0)	Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	\odot
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed	~	~
11.	Do y	you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	Do y	you and the <i>related person</i> share the same physical location?	0	•

1. Legal Name of <i>Related Person</i> : MARINER WEALTH ADVISORS-OKLAHOMA, LLC					
2.	Primary Business Name of <i>Related Person</i> : MARINER WEALTH ADVISORS				
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 51988 or Other				
4.	Related Person's CRD Number (if any): 107355				
5.	Related Person is: (check all that apply) (a)				
6.	Do you control or are you controlled by the related person?		No ⊙		
7.	Are you and the related person under common control?	•	0		
8.	 (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>? (b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>? 	0	⊙		
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:				
	ii dilo dadroco le a private recidence, check tile box.	Yes	No		
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	\odot		
	(b) If the answer is yes, under what exemption?				
10.	(a) Is the related person registered with a foreign financial regulatory authority?(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.	0	•		
11	No Information Filed Do you and the <i>related person</i> share any <i>supervised persons</i> ?	_	_		
	Do you and the <i>related person</i> share the same physical location?		0		
12.	bo you and the related person share the same physical location:	_	•		
1.	Legal Name of <i>Related Person</i> : MONTAGE SECURITIES, LLC				
2.	Primary Business Name of <i>Related Person</i> : MONTAGE SECURITIES, LLC				
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 8 - 68627				

	or Other		
4.	Related Person's CRD Number (if any): 154327		
5.	Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) other investment adviser (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commission merchant (h) banking or thrift institution (i) trust company (j) accountant or accounting firm (k) lawyer or law firm (l) insurance company or agency (m) pension consultant (n) real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
6.	Do you control or are you controlled by the related person?		s No
		0	•
7.	Are you and the related person under common control?	•	0
8.	 (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>? (b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' fur or securities that are maintained at the <i>related person</i>? 	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:	Vas	s No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		0
	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	0	•
1.	Legal Name of Related Person: NUANCE INVESTMENTS, LLC		
2.	Primary Business Name of <i>Related Person</i> : NUANCE INVESTMENTS, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 69682 or Other		
4.	Related Person's CRD Number (if any): 148534		
5.	Related Person is: (check all that apply) (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer (b) ☑ other investment adviser (including financial planners) (c) □ registered municipal advisor		

	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	□ trust company		
	(i)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(I)	insurance company or agency		
	(n)			
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
	(P)	sponsor, general partner, managing member (or equivalent) or pooled investment venicles	Yes	No
6.	Dov	you control or are you controlled by the related person?		
0.	50,	to control of allo you controlled by the related person.	0	•
7	۸ro	you and the related person under common control?	_	_
1.	Are	you and the related person under common contror?	⊙	0
0	(-)			
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	\circ	\odot
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	\circ	\odot
	(b)	If the answer is yes, under what exemption?		
40				
10.		Is the related person registered with a foreign financial regulatory authority?	\circ	⊙
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
11.	Do۱	you and the related person share any supervised persons?	•	_
	,		•	0
12.	Doy	you and the <i>related person</i> share the same physical location?	0	0
			~	
1	_	al Name of <i>Related Person</i> :		
••				
		MER SQUARE CAPITAL MANAGEMENT LLC		
2.	PAL Rela	MER SQUARE CAPITAL MANAGEMENT LLC nary Business Name of <i>Related Person</i> :		
2.	Rela 801 or	MER SQUARE CAPITAL MANAGEMENT LLC nary Business Name of <i>Related Person</i> : MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047		
2.	Rela	MER SQUARE CAPITAL MANAGEMENT LLC nary Business Name of <i>Related Person</i> : MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047		
2.	Rela 801 or Othe	mary Business Name of <i>Related Person</i> : MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er ated Person's CRD Number (if any):		
 3. 4. 	Related Relate	MER SQUARE CAPITAL MANAGEMENT LLC nary Business Name of Related Person: MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er ated Person's CRD Number (if any): 697 ated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer		
 3. 4. 	Relations Relati	MER SQUARE CAPITAL MANAGEMENT LLC nary Business Name of <i>Related Person</i> : MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er ated Person's CRD Number (if any): 697 ated Person is: (check all that apply)		
 3. 4. 	Related to the Relate	MER SQUARE CAPITAL MANAGEMENT LLC nary Business Name of Related Person: MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er ated Person's CRD Number (if any): 697 ated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer		
 3. 4. 	Related to the Relate	MER SQUARE CAPITAL MANAGEMENT LLC nary Business Name of Related Person: MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er ated Person's CRD Number (if any): 697 ated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners)		
 3. 4. 	Related to the second s	MER SQUARE CAPITAL MANAGEMENT LLC area Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er area Person's CRD Number (if any): 697 area Person is: (check all that apply) □ broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor		
 3. 4. 	Related to the second s	MER SQUARE CAPITAL MANAGEMENT LLC arry Business Name of Related Person: MER SQUARE CAPITAL MANAGEMENT LLC arted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er arted Person's CRD Number (if any): 697 arted Person is: (check all that apply) □ broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer		
 3. 4. 	Related to the second s	MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er ated Person's CRD Number (if any): 697 ated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap participant		
 3. 4. 	Related Solution (a) (b) (c) (d) (e) (f)	MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er ated Person's CRD Number (if any): 697 ated Person is: (check all that apply) □ broker-dealer, municipal securities dealer, or government securities broker or dealer ✓ other investment adviser (including financial planners) □ registered municipal advisor □ registered security-based swap dealer major security-based swap participant ✓ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
 3. 4. 	Related 801 or Other Related 1550 (a) (b) (c) (d) (e) (f) (g)	MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er ated Person's CRD Number (if any): 697 ated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant		
 3. 4. 	Related 801 or Other Related 1550 (a) (b) (c) (d) (e) (f) (g)	MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 720-47 er ated Person's CRD Number (if any): 697 broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution		
 3. 4. 	Related 801 or Other Related 1550 (a) (b) (c) (d) (e) (f) (g)	MER SQUARE CAPITAL MANAGEMENT LLC ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 720-47 er ated Person's CRD Number (if any): 697 ated Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company		
 3. 4. 	Related 801 or Other Related 1550 (a) (b) (c) (d) (e) (f) (g)	MER SQUARE CAPITAL MANAGEMENT LLC area person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 72047 er area Person's CRD Number (if any): 897 area Person is: (check all that apply) broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm		

	(n) Li real estate broker or dealer		
	 (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 		
•	De vey control or are yet controlled by the related remain?	Yes	
6.	Do you control or are you controlled by the related person?	0	⊙
7.	Are you and the related person under common control?	•	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: □		
	ii tiilo address is a private residence, check tiilo box.	Yes	No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	\odot
	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	\circ	\odot
	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
11.	. Do you and the related person share any supervised persons?	\odot	0
12.	. Do you and the <i>related person</i> share the same physical location?	0	•
2.	Legal Name of <i>Related Person</i> : RIVERPOINT CAPITAL MANAGEMENT, LLC Primary Business Name of <i>Related Person</i> : RIVERPOINT CAPITAL MANAGEMENT, LLC Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	801 - 77253 or Other		
4.	Related Person's CRD Number (if any): 165759		
5.	Related Person is: (check all that apply) (a)	V	Ne
6.	Do you control or are you controlled by the related person?	Yes	
	Are you and the <i>related person</i> under common <i>control</i> ?		
			0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	\odot

	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i> 's office responsible for <i>custody</i> of your <i>clients</i> ' assets:		
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	\circ	•
	(b)	If the answer is yes, under what exemption?		
	, ,			
10.		Is the related person registered with a foreign financial regulatory authority?	\circ	•
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
11.	Do v	you and the related person share any supervised persons?	•	_
	,		٠	
12.	Do y	you and the related person share the same physical location?	0	•
1.	_	al Name of <i>Related Person</i> : CENT INVESTMENT PARTNERS, LLC		
2.		nary Business Name of <i>Related Person</i> : CENT INVESTMENT PARTNERS, LLC		
3.		ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 70933		
	Othe	∍ Γ		
4.	<i>Rela</i> 152	ated Person's CRD Number (if any): 533		
	(a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (n) (o) (p)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
6.	Do y	you control or are you controlled by the related person?	0	•
7.	Are	you and the related person under common control?	•	0
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
		Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	•
	(h)	If the answer is ves under what exemption?	_	

10.	(a) Is the related person registered with a foreign financial regulatory authority?(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.	0	•
11.	No Information Filed Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	0	0
	Legal Name of <i>Related Person</i> : MARINER WEALTH ADVISORS-MADISON, LLC		
	Primary Business Name of <i>Related Person</i> : MARINER WEALTH ADVISORS		
	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 77358 or		
	Other		
	Related Person's CRD Number (if any): 165972		
 6. 7. 8. 	Related Person is: (check all that apply) (a)	o •	№ ○ ○ ○ ○
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:		
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		No ©
	(b) If the answer is yes, under what exemption?		٠
10.	 (a) Is the related person registered with a foreign financial regulatory authority? (b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed 	0	0
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	0	•

1.	Legal Name of Related Person: CONVERGENCE INVESTMENT PARTNERS, LLC		
2.	Primary Business Name of Related Person: CONVERGENCE INVESTMENT PARTNERS, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 69707 or		
	Other		
4.	Related Person's CRD Number (if any): 148472		
5.	Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) vother investment adviser (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commission merchant (h) banking or thrift institution (i) trust company (j) accountant or accounting firm (k) lawyer or law firm (l) pension consultant (n) pension consultant (n) real estate broker or dealer (o) sponsor or syndicator or immited partnerships (or equivalent), excluding pooled investment vehicles		
		Yes	No
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	•	0
8.		0	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number and Street 2:		
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box: 🗆	Yes	No
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		•
	(b) If the answer is yes, under what exemption?	~	~
40			
10.	 (a) Is the related person registered with a foreign financial regulatory authority? (b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed 	0	0
11.	Do you and the related person share any supervised persons?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	0	•
4	Local Name of Polated Porson:		
1.	Legal Name of Related Person: MARINER WEALTH ADVISORS-ST. LOUIS, LLC		
2.	Primary Business Name of <i>Related Person</i> : MARINER WEALTH ADVISORS		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 94169		
	or Other		

	Related Person's CRD Number (if any): 207512		
5.	Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) other investment adviser (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commission merchant (h) banking or thrift institution (i) trust company (j) accountant or accounting firm (k) lawyer or law firm (l) insurance company or agency (m) pension consultant (n) real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles	Yes	No
6.	Do you control or are you controlled by the related person?	O	
7.	Are you and the related person under common control?	•	0
8.	 (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>? (b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' funds or securities that are maintained at the <i>related person</i>? (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: Number and Street 2: City: State: Country: ZIP+4/Postal Code: 	00	_
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?(b) If the answer is yes, under what exemption?	0	•
10			_
10.	 (a) Is the related person registered with a foreign financial regulatory authority? (b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed 	0	•
		○	
11.	(b) If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed		0
11.	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed Do you and the related person share any supervised persons? Do you and the related person share the same physical location? Legal Name of Related Person: GIRALDA ADVISORS, LLC Primary Business Name of Related Person:	•	0
11.	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed Do you and the related person share any supervised persons? Do you and the related person share the same physical location? Legal Name of Related Person: GIRALDA ADVISORS, LLC Primary Business Name of Related Person: GIRALDA ADVISORS, LLC Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 77359	•	0
11.	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed Do you and the related person share any supervised persons? Do you and the related person share the same physical location? Legal Name of Related Person: GIRALDA ADVISORS, LLC Primary Business Name of Related Person: GIRALDA ADVISORS, LLC Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)	•	0
11.	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed Do you and the related person share any supervised persons? Do you and the related person share the same physical location? Legal Name of Related Person: GIRALDA ADVISORS, LLC Primary Business Name of Related Person: GIRALDA ADVISORS, LLC Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 77359 or	•	0

	(f)		commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)		futures commission merchant		
	(h)		banking or thrift institution		
	(i)		trust company		
	(j)		accountant or accounting firm		
	(k)		lawyer or law firm		
	(I)		insurance company or agency		
	(m)		pension consultant		
	(n)		real estate broker or dealer		
	(o)		sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)		sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
				Yes	No
6.	Do y	you d	control or are you controlled by the related person?	\circ	\odot
7.	Are	you	and the related person under common control?	\odot	0
8.	(a)	Do	es the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	\circ	\odot
	(b)	-	ou are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not erationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds	0	0
		or s	securities that are maintained at the related person?		
	(c)	If yo	ou have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
			Imber and Street 1: Number and Street 2:		
		Cit	·		
		If t	his address is a private residence, check this box: □	V	NI-
0	(0)	lf th		Yes	
9.	(a)		ne related person is an investment adviser, is it exempt from registration?	0	⊙
	(b)	If th	ne answer is yes, under what exemption?		
40	(-)	اء ما			
10.			he related person registered with a foreign financial regulatory authority?	0	⊙
	(b)	If tr	ne answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
11	Do v	VOLL S	and the related person share any supervised persons?	_	_
	D0)	you c	and the related person share any supervised persons:	•	0
12.	Dον	vou a	and the related person share the same physical location?	_	•
	,				٠
					_
1.	Lega	al Na	ame of Related Person:		
	MAF	RINE	R REAL ESTATE MANAGEMENT, LLC		
2.		-	Business Name of Related Person:		
	IVIA	XIINE	R REAL ESTATE MANAGEMENT, LLC		
3	Rela	ated	Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
0.	801				
	or				
	Othe	er			
4.			Person's CRD Number (if any):		
	159	261			
_	5 /				
5.			Person is: (check all that apply)		
	(a)	,	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(-)	~	other investment adviser (including financial planners)		
	(c)		registered municipal advisor		
	` '		registered security-based swap dealer		
			major security-based swap participant		
	(f)		commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)		futures commission merchant		
	(h)		banking or thrift institution		
	(I)		trust company		
	(I)		accountant or accounting firm lawyer or law firm		
	(N)		insurance company or agency		
	(I) (m)		pension consultant		
	(n)		real estate broker or dealer		
	(0)	_	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		

	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles			
6.	Do you control or are you controlled by the related person?	Ye		No ⊙
7.	Are you and the related person under common control?	o)	0
8.	 (a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i>? (b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>' or securities that are maintained at the <i>related person</i>? (c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person</i>'s office responsible for <i>custody</i> of your <i>clients</i>' assets: 	O 'funds		⊙
	Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:			
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Ye		No ⊙
	(b) If the answer is yes, under what exemption?		,	
10.	(a) Is the related person registered with a foreign financial regulatory authority?(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.	0)	•
11	No Information Filed 1. Do you and the <i>related person</i> share any <i>supervised persons</i> ?	_	_	
11.	1. Do you and the related person share any supervised persons?	•		0
12.	2. Do you and the <i>related person</i> share the same physical location?	0)	•
	Legal Name of <i>Related Person</i> : MARINER RETIREMENT ADVISORS, LLC Primary Business Name of <i>Related Person</i> : MARINER RETIREMENT ADVISORS, LLC			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 80336 or Other			
4.	Related Person's CRD Number (if any): 172372			
	broker-dealer, municipal securities dealer, or government securities broker or dealer other investment adviser (including financial planners) registered municipal advisor registered security-based swap dealer major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant banking or thrift institution trust company accountant or accounting firm k lawyer or law firm insurance company or agency pension consultant n real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles possessing advisor or dealer sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Ye		
6.	Do you control or are you controlled by the related person?	0)	•
7.	Are you and the related person under common control?	•	,	0
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0)	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients'	′funds)	0

or securities that are maintained at the *related person*?

	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box: 🗔		
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	
٥.		If the answer is yes, under what exemption?	0	•
	(D)	il the answer is yes, under what exemption:		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.		
		No Information Filed		
11.	. Бо у	ou and the related person share any supervised persons?	0	\odot
12.	. Do v	you and the related person share the same physical location?	0	~
	·			٠
_				
,		Name of Deleted Devices		
1.	_	al Name of <i>Related Person</i> : RINER WEALTH ADVISORS - LEAWOOD, LLC		
2.		nary Business Name of Related Person:		
	MAR	RINER WEALTH ADVISORS		
3.	Rela	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
		- 79490		
	or			
	Othe			
4.	Rela	ated Person's CRD Number (if any):		
	1707			
5.		ated Person is: (check all that apply)		
	` '	broker-dealer, municipal securities dealer, or government securities broker or dealer		
		other investment adviser (including financial planners)		
		registered municipal advisor registered security-based swap dealer		
		registered security-based swap dealer major security-based swap participant		
	(e) (f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(i) (g)	futures commission merchant		
	(9) (h)	banking or thrift institution		
	(i)	trust company		
	(i)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(I)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(-)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
6.	Do v	rou control or are you controlled by the related person?		
0.	20,		0	•
7.	Are	you and the related person under common control?	•	0
			•	
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not	0	0
		operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds		
	(0)	or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
	, ,		Yes	
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	\circ	\odot
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	e

	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	0	•
1	Legal Name of Related Person:		
	MARINER TRUST COMPANY, LLC		
2.	Primary Business Name of <i>Related Person</i> : MARINER TRUST COMPANY, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	or Other		
4.	Related Person's CRD Number (if any):		
5.	Related Person is: (check all that apply) (a) Dispreciate the properties of the pro		
	 (a) □ other investment adviser (including financial planners) (b) □ registered municipal advisor 		
	(d) registered security-based swap dealer		
	 (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) 		
	(g) futures commission merchant		
	 (h) □ banking or thrift institution (i) ☑ trust company 		
	(j) accountant or accounting firm		
	 (k) □ lawyer or law firm (l) □ insurance company or agency 		
	(m) pension consultant		
	(n) real estate broker or dealer		
	 (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles 		
		Yes	No
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	•	0
8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?		\odot
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: □		
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	Yes	No
	(b) If the answer is yes, under what exemption?		
10.	. (a) Is the related person registered with a foreign financial regulatory authority?	0	•
	(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
11.	. Do you and the related person share any supervised persons?	•	0
12.	. Do you and the <i>related person</i> share the same physical location?	0	•
1.	Legal Name of Related Person:		

MARINER WEALTH ADVISORS, LLC

2.	Primary Business Name of <i>Related Person</i> : MARINER WEALTH ADVISORS, LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 66632		
	or Other		
4.	Related Person's CRD Number (if any): 140195		
5.	Related Person is: (check all that apply) (a) □ broker-dealer, municipal securities dealer, or government securities broker or dealer (b) ☑ other investment adviser (including financial planners) (c) □ registered municipal advisor (d) □ registered security-based swap dealer (e) □ major security-based swap participant (f) □ commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) □ futures commission merchant (h) □ banking or thrift institution (i) □ trust company (j) □ accountant or accounting firm (k) □ lawyer or law firm (l) □ insurance company or agency (m) ☑ pension consultant (n) □ real estate broker or dealer		
	(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) ✓ sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	N
6.	Do you control or are you controlled by the related person?	0	•
7.	Are you and the related person under common control?	•	C
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	\circ	•
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets: Number and Street 1: Number and Street 2:		
	City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:	Yes	N
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	0
	(b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	6
	(b) If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed		
11.	Do you and the related person share any supervised persons?	•	C
12.	Do you and the <i>related person</i> share the same physical location?	0	0
			_
1.	Legal Name of <i>Related Person</i> : MARINER WEALTH ADVISORS-OMAHA, LLC		
2.	Primary Business Name of <i>Related Person</i> : MARINER WEALTH ADVISORS		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 60238 or Other		
4.	Related Person's CRD Number (if any):		

		109904						
	5.	Related Person is: (check all that apply)						
		(a) broker-dealer, municipal securities dealer, or government securities broker or dealer						
	(b) 🗹 other investment adviser (including financial planners)							
	(c) registered municipal advisor							
	(d) registered security-based swap dealer							
	(e) ☐ major security-based swap participant (f) ☐ commodity pool operator or commodity trading advisor (whether registered or exempt from registration)							
		(g) I futures commission merchant						
		(h) banking or thrift institution						
		(i) trust company						
		(j) accountant or accounting firm						
		(k) awyer or law firm						
		(I) insurance company or agency						
		(m) pension consultant (n) real estate broker or dealer						
		(o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles						
		(p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles						
			Ye	es	No			
	6.	Do you control or are you controlled by the related person?	С)	•			
	7.	Are you and the related person under common control?	e)	0			
	8.	(a) Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	О		\odot			
		(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients</i>			\circ			
		or securities that are maintained at the related person?	lunus					
		(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:						
		Number and Street 1: Number and Street 2:						
		City: State: Country: ZIP+4/Postal Code:						
		If this address is a private residence, check this box: \square	٧-		NI.			
	9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?			No			
	0.	(b) If the answer is yes, under what exemption?	C		•			
		(b) If the diswel is yes, under what exemption:						
	10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	5	•			
		(b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.	~					
		No Information Filed						
	11.	Do you and the related person share any supervised persons?	e)	0			
	12.	Do you and the <i>related person</i> share the same physical location?	С		⊙			
	1.	Legal Name of Related Person:						
		RB INVESTMENTS, LLC						
	2	Drimary Duainaga Nama of Polated Paragra						
		Primary Business Name of <i>Related Person</i> : RB INVESTMENTS, LLC						
	3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)						
		801 - 100401						
		or Other						
		Other						
	4.	Related Person's CRD Number (if any):						
		269836						
		Related Person is: (check all that apply)						
		(a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) vother investment adviser (including financial planners)						
		(b) ✓ other investment adviser (including financial planners)						
		(c) registered municipal advisor (d) registered security-based swap dealer						
- 11		(c) registered municipal advisor						
		(c) registered municipal advisor (d) registered security-based swap dealer						

	(h)	banking or thrift institution		
	(i)	☐ trust company		
	(j)	accountant or accounting firm		
	(k)	lawyer or law firm		
	(I)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do y	you control or are you controlled by the related person?	0	\odot
7.	Are	you and the related person under common control?	•	0
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not	_	o
	` ,	operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?		
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
		Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	\circ	\odot
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.		~
		No Information Filed		
11.	Doy	you and the related person share any supervised persons?	•	0
			~	~
12.	Doy	you and the related person share the same physical location?	0	•
	•			•
1.	Lega	al Name of Related Person:		
	1OM	NTAGE INVESTMENTS, LLC		
2.		nary Business Name of Related Person:		
	1OM	NTAGE INVESTMENTS, LLC		
3.		ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	801	- 71142		
	or			
	Othe	er en		
4	Dala	ated Barrania CDD Number (if any)		
4.	152	ated Person's CRD Number (if any):		
	102			
5.	Rela	ated Person is: (check all that apply)		
Ο.				
	()	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(b)	banking or thrift institution		
	()	□ trust company		
	(1)	accountant or accounting firm		
	(i) (i)			
	(i) (j) (k)			
		lawyer or law firm		
	(k)	□ lawyer or law firm □ insurance company or agency		
	(k) (l)	lawyer or law firm insurance company or agency		
	(k) (l) (m)	□ lawyer or law firm □ insurance company or agency □ pension consultant		
	(k) (l) (m) (n)	□ lawyer or law firm □ insurance company or agency □ pension consultant □ real estate broker or dealer		

3. I	Do you control or are you controlled by the related person?	\odot	0
7	Are you and the <i>related person</i> under common <i>control</i> ?	•	0
	(a). Does the valeted person set as a qualified systedien for your diants in connection with advisory convices you provide to diants?		
	 (a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients? (b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related person and thus are not required to obtain a surprise examination for your clients' funds or securities that are maintained at the related person? 	0	0
((c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	Number and Street 1: Number and Street 2: City: State: Country: ZIP+4/Postal Code:		
	If this address is a private residence, check this box:		
		Yes	No
9.	(a) If the related person is an investment adviser, is it exempt from registration?	\circ	⊙
((b) If the answer is yes, under what exemption?		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•
((b) If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed	~	
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0
12.	Do you and the <i>related person</i> share the same physical location?	⊙	0
			=
	Legal Name of Related Person:		
	REALTYCLUB INVESTMENT ADVISORS LLC		
2.	Primary Business Name of Related Person:		
	REALTYCLUB INVESTMENT ADVISORS LLC		
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
	801 - 106930		
	or Other		
	Related Person's CRD Number (if any): 175359		
5.	Related Person is: (check all that apply)		
	 (a) Droker-dealer, municipal securities dealer, or government securities broker or dealer (b) Other investment adviser (including financial planners) 		
	(b) ☑ other investment adviser (including financial planners) (c) ☐ registered municipal advisor		
	(d) registered security-based swap dealer		
	(e) major security-based swap participant		
	(f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g) □ futures commission merchant (h) □ banking or thrift institution		
	(h) Light banking or thrift institution (i) Light trust company		
	(j) accountant or accounting firm		
	(k) awyer or law firm		
	(I) Insurance company or agency		
	(m) pension consultant (n) real estate broker or dealer		
	(n) L real estate broker or dealer (o) L sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p) Sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
		Yes	No
o. I	Do you control or are you controlled by the related person?	0	⊙
7	Are you and the related person under common control?	•	0
3.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•
((b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	Ö
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		

		Number and Street 1:	Number and Street 2:		
		City: State:	Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		V	NI-
a	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration		Yes	
٥.			•	0	•
	(b)	If the answer is yes, under what exemption?			
10.	(a)	Is the related person registered with a foreign financial regulatory authority	?	0	~
	` '	If the answer is yes, list the name and country, in English, of each <i>foreign fi</i>			۳
	()		No Information Filed		
11.	Do y	ou and the related person share any supervised persons?		•	0
12.	Do y	ou and the related person share the same physical location?		\circ	\odot
1.	Lega	al Name of Related Person:			
	ALE	GRIA ENERGY, LLC			
2.		ary Business Name of Related Person:			
	ALE	GRIA ENERGY, LLC			
3.	Rela	nted Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)			
٠.		- 106712			
	or				
	Othe	er			
4	Dala	stad Davagela CDD Number (if ann)			
4.	2815	nted Person's CRD Number (if any): 531			
5.	Rela	nted Person is: (check all that apply)			
	(a)	broker-dealer, municipal securities dealer, or government securities b	roker or dealer		
	` '	other investment adviser (including financial planners)			
	` '	registered municipal advisor			
		registered security-based swap dealer			
	(e)	major security-based swap participant			
	(†)	commodity pool operator or commodity trading advisor (whether regist	ered or exempt from registration)		
	(g)	futures commission merchant			
	(h) (i)	banking or thrift institution trust company			
	(i)	accountant or accounting firm			
	(k)	lawyer or law firm			
	(I)	insurance company or agency			
	(m)	pension consultant			
	(n)	real estate broker or dealer			
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding	pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled			
_	Davi			Yes	
6.	ро у	ou control or are you controlled by the related person?		0	⊙
7	Δτοι	you and the related person under common control?		_	_
٠.	7110	you and the related person under commen controls		⊙	0
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in conr	nection with advisory services you provide to clients?	0	
	` '	·	es," to question 8(a) above, have you overcome the presumption that you are not		
	(2)	operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the related	ed person and thus are not required to obtain a surprise examination for your <i>clients'</i> funds	0	0
		or securities that are maintained at the <i>related person</i> ?			
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the			
		Number and Street 1: City: State:	Number and Street 2: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:			
				Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration	?	\circ	•
	(b)	If the answer is yes, under what exemption?			
	, .				
10.	(a)	Is the related person registered with a foreign financial regulatory authority		\circ	\odot
	(b)	If the answer is yes, list the name and country, in English, of each foreign fi	inancial regulatory authority with which the related person is registered. No Information Filed		

11.	Do you and the related person share any supervised persons?	⊙	0	
12.	Do you and the <i>related person</i> share the same physical location?	0	•	
	Legal Name of Related Person:			
	MARINER WEALTH ADVISORS-CHICAGO, LLC			
2.	Primary Business Name of <i>Related Person</i> : MARINER WEALTH ADVISORS			
3.	Related Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) 801 - 96342			
	or Other			
4.	Related Person's CRD Number (if any): 226646			
	Related Person is: (check all that apply) (a) broker-dealer, municipal securities dealer, or government securities broker or dealer (b) other investment adviser (including financial planners) (c) registered municipal advisor (d) registered security-based swap dealer (e) major security-based swap participant (f) commodity pool operator or commodity trading advisor (whether registered or exempt from registration) (g) futures commission merchant banking or thrift institution (i) trust company (j) accountant or accounting firm (k) lawyer or law firm (l) insurance company or agency pension consultant (n) pension consultant (n) real estate broker or dealer (o) sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles (p) sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	. Nc	
6.	Do you control or are you controlled by the related person?		⊙	
7.	Are you and the related person under common control?	0	0	
8.	(a) Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•	
	(b) If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	0	0	
	(c) If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:			
	Number and Street 1:Number and Street 2:City:State:Country:ZIP+4/Postal Code:			
	If this address is a private residence, check this box:	Yes	No	
9.	(a) If the <i>related person</i> is an investment adviser, is it exempt from registration?		. 140	
	(b) If the answer is yes, under what exemption?	~		
10.	(a) Is the related person registered with a foreign financial regulatory authority?	0	•	
	(b) If the answer is yes, list the name and country, in English, of each <i>foreign financial regulatory authority</i> with which the <i>related person</i> is registered. No Information Filed			
11.	Do you and the <i>related person</i> share any <i>supervised persons</i> ?	•	0	
12.	Do you and the <i>related person</i> share the same physical location?	0	•	
1.	Legal Name of <i>Related Person</i> : TORTOISE CREDIT STRATEGIES, LLC			

2. Primary Business Name of *Related Person*:

	TOF	RTOISE CREDIT STRATEGIES, LLC		
3.	801	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 101546		
	or Othe	er		
4.	Rela 277	ated Person's CRD Number (if any): 046		
5.	Relation (a) (b) (c) (d) (e) (f) (g) (h) (i) (j) (k) (l) (m) (o) (p)	real estate broker or dealer sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles sponsor, general partner, managing member (or equivalent) of pooled investment vehicles	Yes	No
6.	Doy	you control or are you controlled by the related person?	0	
7.	Are	you and the related person under common control?	•	0
8.	(a)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	0	•
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	Ö	
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the <i>related person's</i> office responsible for <i>custody</i> of your <i>clients'</i> assets:		
		Number and Street 1: City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box: □		
			Yes	No
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	•
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed		
11.	Doy		•	0
12.	Doy	you and the <i>related person</i> share the same physical location?	0	•
1.	Leg	al Name of <i>Related Person</i> :		
	_	RTOISE INDEX SOLUTIONS, LLC		
2.		nary Business Name of <i>Related Person</i> : RTOISE INDEX SOLUTIONS, LLC		
3.		ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-) - 96272		
	or Othe	er		
4.	<i>Rela</i> 213	ated Person's CRD Number (if any): 515		

5.	Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	(b)	other investment adviser (including financial planners)		
	(c)	registered municipal advisor		
	(d)	registered security-based swap dealer		
	(e)	major security-based swap participant		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(g)	futures commission merchant		
	(h)	banking or thrift institution		
	(i)	☐ trust company		
	(j)	accountant or accounting firm		
	(k)	☐ lawyer or law firm		
	(I)	insurance company or agency		
	(m)	pension consultant		
	(n)	real estate broker or dealer		
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles		
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles		
			Yes	No
6.	Do y	you control or are you controlled by the related person?	0	•
			~	
7.	Are،	you and the related person under common control?	_	_
	,	,	•	0
	(2)	Does the <i>related person</i> act as a qualified custodian for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	_	_
8.			0	⊙
		If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> fundor securities that are maintained at the <i>related person</i> ?		0
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:		
	, ,	Number and Street 1: Number and Street 2:		
		City: State: Country: ZIP+4/Postal Code:		
		If this address is a private residence, check this box:		
			Yes	No
9.	(a)	If the related person is an investment adviser, is it exempt from registration?	0	\odot
	(b)	If the answer is yes, under what exemption?		
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	0	•
		If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered.		•
	(5)	No Information Filed		
11.	Do v	you and the related person share any supervised persons?	_	_
	20,	da and allo rolated person chare any expervised persone.	•	0
12.	Do y	you and the related person share the same physical location?	0	•
1.	-	al Name of <i>Related Person</i> : /ERWEST HOTELS LLC		
	SILV	PERWEST HOTELS LLC		
2	Drim	nary Business Name of Related Person:		
۷.		/ERWEST HOTELS LLC		
	SILV	ERWEST HOTELS LLC		
3.	Pols	ated Person's SEC File Number (if any) (e.g., 801-, 8-, 866-, 802-)		
ა.		- 100340		
	or	1000+0		
	Othe	er e		
	.			
4	Rela	ated Person's CRD Number (if any):		
	1753			
	. 50			
5.	Rela	ated Person is: (check all that apply)		
	(a)	broker-dealer, municipal securities dealer, or government securities broker or dealer		
	()	other investment adviser (including financial planners)		
	(-)	registered municipal advisor		
	(c)	registered municipal advisor registered security-based swap dealer		
	(d) (e)	major security-based swap participant		
		major security-based swap participant commodity pool operator or commodity trading advisor (whether registered or exempt from registration)		
	(f)	commodity pool operator or commodity trading advisor (whether registered or exempt from registration) futures commission merchant		
	(g) (b)			
	(h) (i)	banking or thrift institution trust company		
	(I)	Li trust compatity		

	(j)	accountant or accounting firm							
	(k)	lawyer or law firm							
	(I)	insurance company or agency							
	(m) (n)	pension consultant real estate broker or dealer							
	(o)	sponsor or syndicator of limited partnerships (or equivalent), excluding pooled investment vehicles							
	(p)	sponsor, general partner, managing member (or equivalent) of pooled investment vehicles							
			Yes	No					
6.	Do y	ou control or are you controlled by the related person?	\circ	•					
7	Δre	you and the <i>related person</i> under common <i>control</i> ?	_						
, .	7110	you and the related person under comment controls	⊙						
8.	(a)	Does the related person act as a qualified custodian for your clients in connection with advisory services you provide to clients?	0	•					
	(b)	If you are registering or registered with the SEC and you have answered "yes," to question 8(a) above, have you overcome the presumption that you are not operationally independent (pursuant to rule 206(4)-(2)(d)(5)) from the <i>related person</i> and thus are not required to obtain a surprise examination for your <i>clients'</i> funds or securities that are maintained at the <i>related person</i> ?	_	0					
	(c)	If you have answered "yes" to question 8.(a) above, provide the location of the related person's office responsible for custody of your clients' assets:							
		Number and Street 1: Number and Street 2:							
		City: State: Country: ZIP+4/Postal Code: If this address is a private residence, check this box:							
			Yes	No					
9.	(a)	If the <i>related person</i> is an investment adviser, is it exempt from registration?	0	•					
	(b)	If the answer is yes, under what exemption?							
10.	(a)	Is the related person registered with a foreign financial regulatory authority?	\circ	•					
	(b)	If the answer is yes, list the name and country, in English, of each foreign financial regulatory authority with which the related person is registered. No Information Filed							
11.	Doy	ou and the related person share any supervised persons?	•	0					
12	Dov	you and the <i>related person</i> share the same physical location?	_						
12.	D0)	and the related person share the same physical location:	0	•					
lten	1 7 <i>Pi</i>	rivate Fund Reporting							
			Yes	No					
В.	Are y	ou an adviser to any <i>private fund</i> ?	0	•					
	Instru	s," then for each private fund that you advise, you must complete a Section 7.B.(1) of Schedule D, except in certain circumstances described in the next sentence and in ction 6 of the Instructions to Part 1A. If another adviser reports this information with respect to any such private fund in Section 7.B.(1) of Schedule D of its Form ADV (e. subadviser), do not complete Section 7.B.(1) of Schedule D.	ı., if y	you					
		her case, if you seek to preserve the anonymity of a private fund client by maintaining its identity in your books and records in numerical or alphabetical code, or simila nation, pursuant to rule 204-2(d), you may identify the private fund in Section 7.B.(1) or 7.B.(2) of Schedule D using the same code or designation in place of the fund's		Э.					
SEC	HOIT	7.B.(1) Private Fund Reporting							
		No Information Filed							
SEC	TION	17.B.(2) Private Fund Reporting							
		No Information Filed							
		articipation or Interest in <i>Client</i> Transactions							
		em, we request information about your participation and interest in your <i>clients</i> ' transactions. This information identifies additional areas in which conflicts of interest mayou and your clients.	y occ	cur					
Like	e Item	7, Item 8 requires you to provide information about you and your related persons, including foreign affiliates.							
Pro	priet	ary Interest in <i>Client</i> Transactions							
A.	Do	you or any related person:	'es	No					
	(1)	(1) buy securities for yourself from advisory <i>clients</i> , or sell securities you own to advisory <i>clients</i> (principal transactions)?							

 \odot \circ

(2) buy or sell for yourself securities (other than shares of mutual funds) that you also recommend to advisory *clients*?

	(3)	recommend securities (or other investment products) to advisory <i>clients</i> in which you or any <i>related person</i> has some other proprietary (ownership) interest (other than those mentioned in Items 8.A.(1) or (2))?	•	0
Sal	es In	terest in <i>Client</i> Transactions		
B.	Doy	you or any related person:	Yes	No
	(1)	as a broker-dealer or registered representative of a broker-dealer, execute securities trades for brokerage customers in which advisory <i>client</i> securities are sold to or bought from the brokerage customer (agency cross transactions)?	0	0
	(2)	recommend purchase of securities to advisory <i>clients</i> for which you or any <i>related person</i> serves as underwriter, general or managing partner, or purchaser representative?	•	0
	(3)	recommend purchase or sale of securities to advisory <i>clients</i> for which you or any <i>related person</i> has any other sales interest (other than the receipt of sales commissions as a broker or registered representative of a broker-dealer)?	•	0
Inv	estm	ent or Brokerage Discretion		
C.	Do y	you or any related person have discretionary authority to determine the:	Yes	No
	(1)	securities to be bought or sold for a <i>client's</i> account?	\odot	О
	(2)	amount of securities to be bought or sold for a <i>client's</i> account?	\odot	0
	(3)	broker or dealer to be used for a purchase or sale of securities for a client's account?	•	C
	(4)	commission rates to be paid to a broker or dealer for a <i>client's</i> securities transactions?	•	
D.	If yo	ou answer "yes" to C.(3) above, are any of the brokers or dealers related persons?	0	•
E.	Doy	you or any related person recommend brokers or dealers to clients?	•	O
F.	If yo	ou answer "yes" to E above, are any of the brokers or dealers related persons?	•	C
G.	(1)	Do you or any <i>related person</i> receive research or other products or services other than execution from a broker-dealer or a third party ("soft dollar benefits") in connection with <i>client</i> securities transactions?	•	0
	(2)	If "yes" to G.(1) above, are all the "soft dollar benefits" you or any <i>related persons</i> receive eligible "research or brokerage services" under section 28(e) of the Securities Exchange Act of 1934?	•	0
H.	Doy	you or any related person, directly or indirectly, compensate any person for client referrals?	•	C
l.	Doy	you or any related person, directly or indirectly, receive compensation from any person for client referrals?	•	0
		esponding to Items 8.H and 8.I., consider all cash and non-cash compensation that you or a related person gave to (in answering Item 8.H) or received from (in answering tem 8.H) or received from (in answeri	ring i	Item
tem	9 Cı	ustody		
		em, we ask you whether you or a related person has custody of client (other than clients that are investment companies registered under the Investment Company Act nd about your custodial practices.	of 19	40)
A.	(1)	Do you have <i>custody</i> of any advisory <i>clients'</i> :	Yes	No
		(a) cash or bank accounts?	\circ	⊙
		(b) securities?	0	•
	cliei	ou are registering or registered with the SEC, answer "No" to Item 9.A.(1)(a) and (b) if you have custody solely because (i) you deduct your advisory fees directly from y nts' accounts, or (ii) a related person has custody of client assets in connection with advisory services you provide to clients, but you have overcome the presumption to not operationally independent (pursuant to Advisers Act rule 206(4)-(2)(d)(5)) from the related person.		ЭU
	(2)	If you checked "yes" to Item 9.A.(1)(a) or (b), what is the approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for which you have <i>custody</i> :		
		U.S. Dollar Amount Total Number of <i>Clients</i>		
		(a) \$ (b)		
	of th	ou are registering or registered with the SEC and you have custody solely because you deduct your advisory fees directly from your clients' accounts, do not include the hose assets and the number of those clients in your response to Item 9.A.(2). If your related person has custody of client assets in connection with advisory services you lients, do not include the amount of those assets and number of those clients in your response to 9.A.(2). Instead, include that information in your response to Item 9.E	u pro	
В.	(1)	In connection with advisory services you provide to <i>clients</i> , do any of your <i>related persons</i> have <i>custody</i> of any of your advisory <i>clients</i> ':	Yes	Nc
		(a) cash or bank accounts?	\circ	\odot
		(b) securities?	\circ	•

You are required to answer this item regardless of how you answered Item 9.A.(1)(a) or (b).

	(2)	If you checked "yes" to Item 9.B.(1)(a) or (b), what is custody:	s the approximate amount of <i>client</i> funds and securities and total number of <i>clients</i> for which your <i>related persons</i>	have	
		U.S. Dollar Amount	Total Number of <i>Clients</i>		
		(a) \$	(b)		
C.	If yo	u or your related persons have custody of client fund	Is or securities in connection with advisory services you provide to clients, check all the following that apply:		
			at least quarterly to the investors in the pooled investment vehicle(s) you manage.		
	(2)	An <i>independent public accountant</i> audits annually investors in the pools.	the pooled investment vehicle(s) that you manage and the audited financial statements are distributed to the		
	(3)	·	nual surprise examination of <i>client</i> funds and securities.		
		·	ernal control report with respect to custodial services when you or your <i>related persons</i> are qualified custodians		
		for <i>client</i> funds and securities.			
	repo		n 9.C. of Schedule D the accountants that are engaged to perform the audit or examination or prepare an internal c list auditor information in Section 9.C. of Schedule D if you already provided this information with respect to the priv		I
D.	Do y	ou or your related person(s) act as qualified custod	ians for your <i>clients</i> in connection with advisory services you provide to <i>clients</i> ?	Yes	No
	(1)	you act as a qualified custodian		0	•
	(2)	your related person(s) act as qualified custodian(s		0	•
					_
	-		that act as qualified custodians (other than any mutual fund transfer agent pursuant to rule 206(4)-2(b)(1)) must be thether you have determined the related person to be operationally independent under rule 206(4)-2 of the Adviser		
E.	-	ou are filing your annual updating amendment and ye (MM/YYYY) the examination commenced:	ou were subject to a surprise examination by an independent public accountant during your last fiscal year, provide	e the	
F.	-	ou or your related persons have custody of client fund your clients in connection with advisory services you	ds or securities, how many persons, including, but not limited to, you and your <i>related persons,</i> act as qualified cus provide to <i>clients?</i>	stodia	ns
SEC	TION	9.C. Independent Public Accountant			
			No Information Filed		
Iten	10 C	Control Persons			
		m, we ask you to identify every <i>person</i> that, directly	pr indirectly, <i>controls</i> you.		
If y	ou are	e submitting an initial application or report, you mus	t complete Schedule A and Schedule B. Schedule A asks for information about your direct owners and executive o		
				Yes	No
A.	Doe	s any <i>person</i> not named in Item 1.A. or Schedules	A, B, or C, directly or indirectly, <i>control</i> your management or policies?	0	•
	If ye	es, complete Section 10.A. of Schedule D.			
B.		y <i>person</i> named in Schedules A, B, or C or in Sections complete Section 10.B. of Schedule D.	on 10.A. of Schedule D is a public reporting company under Sections 12 or 15(d) of the Securities Exchange Act of	1934,	
SEC	TION	10.A. Control Persons			
			No Information Filed		
SEC	TION	l 10.B. Control Person Public Reporting Companies			
			No Information Filed		

In this Item, we ask for information about your disciplinary history and the disciplinary history of all your advisory affiliates. We use this information to determine whether to grant your

application for registration, to decide whether to revoke your registration or to place limitations on your activities as an investment adviser, and to identify potential problem areas to focus on during our on-site examinations. One event may result in "yes" answers to more than one of the questions below. Your advisory affiliates are: (1) all of your current employees (other than employees performing only clerical, administrative, support or similar functions); (2) all of your officers, partners, or directors (or any person performing similar functions); and (3) all persons directly or indirectly controlling you or controlled by you. If you are a "separately identifiable department or division" (SID) of a bank, see the Glossary of Terms to determine who your advisory affiliates are. If you are registered or registering with the SEC or if you are an exempt reporting adviser, you may limit your disclosure of any event listed in Item 11 to ten years following the date of the event. If you are registered or registering with a state, you must respond to the questions as posed; you may, therefore, limit your disclosure to ten years following the date of an event only in responding to Items 11.A.(1), 11.A.(2), 11.B.(1), 11.B.(2), 11.D.(4), and 11.H.(1)(a). For purposes of calculating this ten-year period, the date of an event is the date the final order, judgment, or decree was entered, or the date any rights of appeal from preliminary orders, judgments, or decrees lapsed. You must complete the appropriate Disclosure Reporting Page ("DRP") for "yes" answers to the questions in this Item 11. Yes No Do any of the events below involve you or any of your supervised persons? \odot \circ For "yes" answers to the following questions, complete a Criminal Action DRP: A. In the past ten years, have you or any advisory affiliate: Yes No (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any felony? (2) been charged with any felony? If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.A.(2) to charges that are currently pendina. In the past ten years, have you or any advisory affiliate: (1) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to a misdemeanor involving: investments or an investmentrelated business, or any fraud, false statements, or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? (2) been charged with a misdemeanor listed in Item 11.B.(1)? If you are registered or registering with the SEC, or if you are reporting as an exempt reporting adviser, you may limit your response to Item 11.B.(2) to charges that are currently pending. For "yes" answers to the following questions, complete a Regulatory Action DRP: C. Has the SEC or the Commodity Futures Trading Commission (CFTC) ever: Yes No (1) found you or any advisory affiliate to have made a false statement or omission? (2) found you or any advisory affiliate to have been involved in a violation of SEC or CFTC regulations or statutes? \odot (3) found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? (4) entered an order against you or any advisory affiliate in connection with investment-related activity? \circ (5) imposed a civil money penalty on you or any advisory affiliate, or ordered you or any advisory affiliate to cease and desist from any activity? \odot Has any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority: (1) ever found you or any advisory affiliate to have made a false statement or omission, or been dishonest, unfair, or unethical? (2) ever found you or any advisory affiliate to have been involved in a violation of investment-related regulations or statutes? \odot (3) ever found you or any advisory affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked, or restricted? (4) in the past ten years, entered an order against you or any advisory affiliate in connection with an investment-related activity? (5) ever denied, suspended, or revoked your or any advisory affiliate's registration or license, or otherwise prevented you or any advisory affiliate, by order, from • associating with an investment-related business or restricted your or any advisory affiliate's activity? E. Has any self-regulatory organization or commodities exchange ever: (1) found you or any advisory affiliate to have made a false statement or omission? • (2) found you or any advisory affiliate to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the SEC)? (3) found you or any advisory affiliate to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked, or (4) disciplined you or any advisory affiliate by expelling or suspending you or the advisory affiliate from membership, barring or suspending you or the advisory affiliate from association with other members, or otherwise restricting your or the advisory affiliate's activities? Has an authorization to act as an attorney, accountant, or federal contractor granted to you or any advisory affiliate ever been revoked or suspended? G. Are you or any advisory affiliate now the subject of any regulatory proceeding that could result in a "yes" answer to any part of Item 11.C., 11.D., or 11.E.?

For "ye	es" answers to the following questions, complete a Civil Judicial Action DRP:							
H. (1) Has any domestic or foreign court:	Yes	No					
	(a) in the past ten years, enjoined you or any advisory affiliate in connection with any investment-related activity?	0	\odot					
	(b) ever found that you or any advisory affiliate were involved in a violation of investment-related statutes or regulations?	0	•					
	(c) ever dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you or any advisory affiliate by a state or foreign financial regulatory authority?							
(2	Are you or any advisory affiliate now the subject of any civil proceeding that could result in a "yes" answer to any part of Item 11.H.(1)?	0	•					
Item 12	Small Businesses							
	EC is required by the Regulatory Flexibility Act to consider the effect of its regulations on small entities. In order to do this, we need to determine whether you meet the debusiness" or "small organization" under rule 0-7.	efinitio	n of					
than \$2	r this Item 12 only if you are registered or registering with the SEC and you indicated in response to Item 5.F.(2)(c) that you have regulatory assets under management 25 million. You are not required to answer this Item 12 if you are filing for initial registration as a state adviser, amending a current state registration, or switching from Segistration.							
For pur	rposes of this Item 12 only:							
•	Total Assets refers to the total assets of a firm, rather than the assets managed on behalf of <i>clients</i> . In determining your or another <i>person's</i> total assets, you may use assets shown on a current balance sheet (but use total assets reported on a consolidated balance sheet with subsidiaries included, if that amount is larger). <i>Control</i> means the power to direct or cause the direction of the management or policies of a <i>person</i> , whether through ownership of securities, by contract, or otherwise <i>person</i> that directly or indirectly has the right to vote 25 percent or more of the voting securities, or is entitled to 25 percent or more of the profits, of another <i>person</i> is presented to control the other <i>person</i> .	e. Any						
		Yes	No					
A. Die	d you have total assets of \$5 million or more on the last day of your most recent fiscal year?	\circ	\circ					
If "yes,	" you do not need to answer Items 12.B. and 12.C.							
B. Do	o you:							
(1)	control another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0					
(2)	control another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0					
C. Are	e you:							
(1)) controlled by or under common control with another investment adviser that had regulatory assets under management (calculated in response to Item 5.F.(2)(c) of Form ADV) of \$25 million or more on the last day of its most recent fiscal year?	0	0					
(2)	controlled by or under common control with another person (other than a natural person) that had total assets of \$5 million or more on the last day of its most recent fiscal year?	0	0					
Schedu	ıle A							
	Owners and Executive Officers							

- 1. Complete Schedule A only if you are submitting an initial application or report. Schedule A asks for information about your direct owners and executive officers. Use Schedule C to amend this information.
- 2. Direct Owners and Executive Officers. List below the names of:
 - (a) each Chief Executive Officer, Chief Financial Officer, Chief Operations Officer, Chief Legal Officer, Chief Compliance Officer (Chief Compliance Officer is required if you are registered or applying for registration and cannot be more than one individual), director, and any other individuals with similar status or functions;
 - (b) if you are organized as a corporation, each shareholder that is a direct owner of 5% or more of a class of your voting securities, unless you are a public reporting company (a company subject to Section 12 or 15(d) of the Exchange Act);
 - Direct owners include any person that owns, beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 5% or more of a class of your voting securities. For purposes of this Schedule, a person beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days,
 - through the exercise of any option, warrant, or right to purchase the security. (c) if you are organized as a partnership, all general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 5% or more of your capital;
 - in the case of a trust that directly owns 5% or more of a class of your voting securities, or that has the right to receive upon dissolution, or has contributed, 5% or more of your capital, the trust and each trustee; and
 - (e) if you are organized as a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 5% or more of your capital, and (ii) if managed by elected managers, all elected managers.
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner or executive officer is an individual.
- 5. Complete the Title or Status column by entering board/management titles; status as partner, trustee, sole proprietor, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: NA less than 5% B - 10% but less than 25% D - 50% but less than 75%
- 7. (a) In the Control Person column, enter "Yes" if the person has control as defined in the Glossary of Terms to Form ADV, and enter "No" if the person does not have control. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.

(b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.

(c) Complete each column.

(c) Complete each column.							
FULL LEGAL NAME (Individuals: Last Name,	DE/FE/	Status	Date Status	Ownership	Control	PR	CRD No. If None: S.S. No. and Date of Birth, IRS
First Name, Middle Name)			Acquired MM/YYYY	Code	Person		Tax No. or Employer ID No.
DORIAN, ANNE, JENELLE PLEVIAK	I	CHIEF COMPLIANCE OFFICER	09/2014	NA	Υ	N	5736231
MONTAGE INVESTMENTS, LLC	DE	MANAGING MEMBER	09/2014	D	Υ	N	152607
TORRAY LLC	DE	MEMBER	10/2014	С	Υ	N	105818
HAFFENREFFER, NICHOLAS, CHASE	I	PRESIDENT AND CHIEF INVESTMENT OFFICER	10/2014	NA	Y	N	2854277
HENSON, GARY, PAUL	I	MANAGING DIRECTOR	10/2014	NA	Υ	N	2130871
BICKNELL, MARTIN, CHRISTOPHER	I	CHIEF EXECUTIVE OFFICER	10/2014	NA	Υ	N	2007121

Schedule B

Indirect Owners

- 1. Complete Schedule B only if you are submitting an initial application. Schedule B asks for information about your indirect owners; you must first complete Schedule A, which asks for information about your direct owners. Use Schedule C to amend this information.
- 2. Indirect Owners. With respect to each owner listed on Schedule A (except individual owners), list below:
 - (a) in the case of an owner that is a corporation, each of its shareholders that beneficially owns, has the right to vote, or has the power to sell or direct the sale of, 25% or more of a class of a voting security of that corporation;

For purposes of this Schedule, a *person* beneficially owns any securities: (i) owned by his/her child, stepchild, grandchild, parent, stepparent, grandparent, spouse, sibling, mother-in-law, father-in-law, son-in-law, daughter-in-law, brother-in-law, or sister-in-law, sharing the same residence; or (ii) that he/she has the right to acquire, within 60 days, through the exercise of any option, warrant, or right to purchase the security.

- (b) in the case of an owner that is a partnership, <u>all</u> general partners and those limited and special partners that have the right to receive upon dissolution, or have contributed, 25% or more of the partnership's capital;
- (c) in the case of an owner that is a trust, the trust and each trustee; and
- (d) in the case of an owner that is a limited liability company ("LLC"), (i) those members that have the right to receive upon dissolution, or have contributed, 25% or more of the LLC's capital, and (ii) if managed by elected managers, all elected managers.
- 3. Continue up the chain of ownership listing all 25% owners at each level. Once a public reporting company (a company subject to Sections 12 or 15(d) of the Exchange Act) is reached, no further ownership information need be given.
- 4. In the DE/FE/I column below, enter "DE" if the owner is a domestic entity, "FE" if the owner is an entity incorporated or domiciled in a foreign country, or "I" if the owner is an individual.
- 5. Complete the Status column by entering the owner's status as partner, trustee, elected manager, shareholder, or member; and for shareholders or members, the class of securities owned (if more than one is issued).
- 6. Ownership codes are: C 25% but less than 50% E 75% or more
 - D 50% but less than 75% F Other (general partner, trustee, or elected manager)
- 7. (a) In the *Control Person* column, enter "Yes" if the *person* has *control* as defined in the Glossary of Terms to Form ADV, and enter "No" if the *person* does not have *control*. Note that under this definition, most executive officers and all 25% owners, general partners, elected managers, and trustees are *control persons*.
 - (b) In the PR column, enter "PR" if the owner is a public reporting company under Sections 12 or 15(d) of the Exchange Act.
 - (c) Complete each column.

FULL LEGAL NAME (Individuals: Last	DE/FE/I	Entity in Which Interest is	Status	Date Status	Ownership	Control	PR	CRD No. If None: S.S. No. and Date of
Name, First Name, Middle Name)		Owned		Acquired	Code	Person		Birth, IRS Tax No. or Employer ID No.
				MM/YYYY				
MARINER HOLDINGS, LLC	DE	MONTAGE INVESTMENTS,	MANAGING	01/2010	Е	Υ	N	
		LLC	MEMBER					
BICKNELL FAMILY HOLDING COMPANY,	DE	MARINER HOLDINGS, LLC	MANAGER	04/2008	Е	Υ	N	
LLC								
BICKNELL, MARTIN, CHRISTOPHER	I	BICKNELL FAMILY	ELECTED	07/2007	F	Υ	N	2007121
		HOLDING COMPANY, LLC	MANAGER					
TORRAY CORP	DE	TORRAY LLC	MEMBER	09/2005	D	Υ	N	105817
TORRAY, ROBERT, ELLIOTT	I	TORRAY CORP	SHAREHOLDER	12/1990	D	Υ	N	4325898
LANE, WILLIAM, M	I	TORRAY CORP	SHAREHOLDER	12/1990	С	Υ	N	2098948

Schedule D - Miscellaneous

You may use the space below to explain a response to an Item or to provide any other information.

DRP Pages

CRIMINAL DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

No Information Filed		
CIVIL JUDICIAL ACTION DISCLOSURE REPORTING PAGE (ADV)		

REGULATORY ACTION DISCLOSURE REPORTING PAGE (ADV)

No Information Filed

Part 2

Exemption from brochure delivery requirements for SEC-registered advisers

SEC rules exempt SEC-registered advisers from delivering a firm brochure to some kinds of clients. If these exemptions excuse you from delivering a brochure to all of your advisory clients, you do not have to prepare a brochure.

Are you exempt from delivering a brochure to all of your clients under these rules?

0 \odot

If no, complete the ADV Part 2 filing below.

Amend, retire or file new brochures:

Brochure ID	Brochure Name	Brochure Type(s)						
122598	ADV PART 2A	Individuals, High net worth individuals, Other institutional						

Execution Pages

DOMESTIC INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint the Secretary of State or other legally designated officer, of the state in which you maintain your principal office and place of business and any other state in which you are submitting a notice filing, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, order instituting proceedings, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or certified mail, in any federal or state action, administrative proceeding or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, proceeding, or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is founded, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of the state in which you maintain your principal office and place of business or of any state in which you are submitting a notice filing.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any person having custody or possession of these books and records to make them available to federal and state regulatory representatives.

Signature: Date: MM/DD/YYYY ANNE DORIAN 03/23/2016

Printed Name:

Title:

CHIEF COMPLIANCE OFFICER

Adviser CRD Number:

ANNE DORIAN

173090

NON-RESIDENT INVESTMENT ADVISER EXECUTION PAGE

You must complete the following Execution Page to Form ADV. This execution page must be signed and attached to your initial submission of Form ADV to the SEC and all amendments.

1. Appointment of Agent for Service of Process

By signing this Form ADV Execution Page, you, the undersigned adviser, irrevocably appoint each of the Secretary of the SEC, and the Secretary of State or other legally designated officer, of any other state in which you are submitting a notice filing, as your agents to receive service, and agree that such persons may accept service on your behalf, of any notice, subpoena, summons, order instituting proceedings, demand for arbitration, or other process or papers, and you further agree that such service may be made by registered or

certified mail, in any federal or state action, administrative *proceeding* or arbitration brought against you in any place subject to the jurisdiction of the United States, if the action, *proceeding* or arbitration (a) arises out of any activity in connection with your investment advisory business that is subject to the jurisdiction of the United States, and (b) is *founded*, directly or indirectly, upon the provisions of: (i) the Securities Act of 1933, the Securities Exchange Act of 1934, the Trust Indenture Act of 1939, the Investment Company Act of 1940, or the Investment Advisers Act of 1940, or any rule or regulation under any of these acts, or (ii) the laws of any state in which you are submitting a *notice filing*.

2. Appointment and Consent: Effect on Partnerships

If you are organized as a partnership, this irrevocable power of attorney and consent to service of process will continue in effect if any partner withdraws from or is admitted to the partnership, provided that the admission or withdrawal does not create a new partnership. If the partnership dissolves, this irrevocable power of attorney and consent shall be in effect for any action brought against you or any of your former partners.

3. Non-Resident Investment Adviser Undertaking Regarding Books and Records

By signing this Form ADV, you also agree to provide, at your own expense, to the U.S. Securities and Exchange Commission at its principal office in Washington D.C., at any Regional or District Office of the Commission, or at any one of its offices in the United States, as specified by the Commission, correct, current, and complete copies of any or all records that you are required to maintain under Rule 204-2 under the Investment Advisers Act of 1940. This undertaking shall be binding upon you, your heirs, successors and assigns, and any *person* subject to your written irrevocable consents or powers of attorney or any of your general partners and *managing agents*.

Signature

I, the undersigned, sign this Form ADV on behalf of, and with the authority of, the *non-resident* investment adviser. The investment adviser and I both certify, under penalty of perjury under the laws of the United States of America, that the information and statements made in this ADV, including exhibits and any other information submitted, are true and correct, and that I am signing this Form ADV Execution Page as a free and voluntary act.

I certify that the adviser's books and records will be preserved and available for inspection as required by law. Finally, I authorize any *person* having *custody* or possession of these books and records to make them available to federal and state regulatory representatives.

Title:

Signature: Date: MM/DD/YYYY

Printed Name:

Adviser CRD Number:

173090